

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, CA 95814



March 5, 1999

## PROSPECTIVE BIDDER

**REQUEST FOR PROPOSALS (RFP) 99-03:  
CHILD WELFARE SERVICES WORKLOAD STUDY**

The California Department of Social Services (CDSS) invites your response to the enclosed Request for Proposals (RFP) to perform an evaluation of the current Child Welfare Services (CWS) workload and associated budgeting methodology. This evaluation is conducted pursuant to the legislative mandate included in California Senate Bill (SB) 2030.

**A pre bid conference has been scheduled for March 15, 1999, at 1:00 p.m. at the following location: California Department of Social Services 744 P Street, First Floor Auditorium, Sacramento, California 95814. Attendance is optional.**

Proposals submitted in response to this RFP must be **received by 4:00 p.m., on April 5, 1999** and may be mailed or delivered to the following address:

California Department of Social Services  
Contracts Section, Room 700  
744 P Street, M.S. 7-747  
Sacramento, CA 95814

Attention: Ken Williams  
Contracts Officer

Proposals must be sealed in an envelope with the bidder's business name and return address indicated on the outside of the envelope. The words **"SEALED BID, DO NOT OPEN; RFP 99-03, DUE 04/05/99"** must be printed or typed in the lower left corner of the front of the envelope.

Any proposal received after the submission deadline cannot be considered since it will not meet all requirements of the RFP. **A POSTMARK WILL NOT BE ACCEPTED AS MEETING THE DELIVERY TIME** if the proposal is received by the Contracts Office after the submission deadline. If you are delivering the proposal in person, please allow extra time to clear the security procedures in the building.

The competitive bidding process being used for this procurement of services is the RFP secondary method. All proposals will first be reviewed for compliance with the proposal format and content requirements of the RFP. Proposals meeting these requirements will then be evaluated by the Evaluation Committee. The highest scoring proposal will be awarded the contract.

If you have any questions, please contact me at (916) 657-1919.

Ken Williams  
Contracts Officer

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## **SECTION I. INTRODUCTION**

### **A. PURPOSE**

The purpose of this Request for Proposals (RFP) is to obtain a contractor, pursuant to the legislative mandate included in California Senate Bill (SB) 2030, to conduct an evaluation of the current Child Welfare Services (CWS) workload and associated budgeting methodology in order to determine the adequacy of the system to fund the CWS program in today's environment. The contractor shall make recommendations for revising the budgeting methodology, including appropriate caseload levels, supportive services, and preventative services, in order to adequately fund the system. The contractor will be expected to work collectively with CDSS and an established advisory group throughout the evaluation process and provide interim progress reports to the group. The contractor shall consider the following legislative findings during the course of the evaluation:

- (a) The safety of children is the paramount goal of the child welfare services system.
- (b) The existing approach to budgeting and funding child welfare services was established over 15 years ago, and it is in the best interest of children for the Legislature to find out if the system is outdated and inappropriate as a means of adequately funding the program today.
- (c) Numerous and significant changes in child welfare services policy and practice, as well as demographic and societal changes over the past 15 years, have dramatically affected the workload demands of the current system and its ability to deliver high quality child welfare services. Some of these changes include:
  - (1) An explosion in the number of children at risk of abuse, neglect, and exploitation due to substance abuse in families.
  - (2) An overall increase in the number and complexity of stresses on vulnerable families, and a corresponding rise in the level of dysfunction in the families and children in need of child welfare services.
  - (3) Over a decade of new state and federal laws and regulations that have impacted the workload demands of the system.
  - (4) The implementation of promising advances and innovation in child welfare services practice and delivery at the local level, such as family conferencing and wraparound services.
  - (5) The implementation of the automated Child Welfare Services/Case Management System (CWS/CMS).
- (d) These changes and many others have contributed to a serious need for a reevaluation of California's methodology for budgeting and funding the child welfare services system.

## **B. BACKGROUND**

California's public social service programs are operated under a state supervised county administered system. The 58 counties receive allocations of funds (State general funds and federal funds), from the State Department of Social Services to administer social service programs within the policies prescribed in State regulations and statutes. The allocations are determined based on an allocation plan or methodology developed by the State Department of Social Services and approved by the Department of Finance. The current child welfare funding strategy in California requires counties to provide a match in order to access the State/federal funding made available to them through the State budget process. If a county does not provide a full match, it cannot access all of the funding available.

The current budgeting methodology used by California to allocate funds for the provision of child welfare services (CWS) is a *caseload-driven* system. Such a system has the advantage of producing a mechanism for funding workload increases, as defined by a child welfare case. However, because allocations are determined based on case counts, the current methodology acts as a disincentive to practice state of the art advancements in providing necessary services (including preventative services) to the State's most vulnerable population.

California has a number of statewide and local initiatives that may result in a differential allocation of resources. Among these are the Structured Decision Making pilot program, Concurrent Planning projects, Family Decision Making models, and others.

A listing of additional background information relative to the CWS program and associated budgeting and expenditure data is included as Exhibit I of this RFP.

## **C. HISTORICAL PERSPECTIVE**

The current allocation methodology for the CWS program is based on caseload standards which state the number of cases a worker should carry. Statewide caseload standards are compared against individual county caseload estimates for five child welfare program activity areas to calculate the number of full time equivalent (FTE) social workers needed in each county. The FTE's are expanded for a 7:1 supervisory ratio. The county's actual cost of funding a social worker (as identified in each county's Proposed County Administrative Budget [PCAB]) is applied to the total number of estimated FTE's to determine the county's CWS staff costs. The caseload standards used in this methodology were developed in 1984 by CDSS in coordination with the County Welfare Director's Association. Allocations for CWS direct costs, which include purchase of services, are calculated based on historical expenditure levels.

The CWS basic allocation uses unit cost and Full Time Equivalent staffing data submitted annually by each county in their individualized PCAB. The PCAB provides a projection of FTE caseworker staff and support staff and generates an average monthly salary. In addition, the PCAB distributes the appropriate amount of operating costs (overhead costs) and automated systems costs that are applicable to the CWS program.

Beginning in State Fiscal Year (FY) 1998/99 CDSS has executed agreements (Memorandum of Understandings [MOUs]) with two county social service agencies to utilize an *Optional Budgeting Methodology* to determine their CWS basic allocations. Under the optional methodology, the county's CWS allocation will equal the full time equivalent casework staff and supervisors funded in the FY1997/98, adjusted by a yearly factor equivalent to the average statewide caseload growth. The intent of the optional methodology is to provide counties the opportunity to demonstrate the effectiveness of prevention and early intervention activities without resulting in loss of funding.

Although the CWS program and the overall number and complexity of stresses on vulnerable families has changed significantly over the past fifteen years, the budget and allocation methodology has not been revised to coincide with these changes.

In addition to the CWS basic allocation, county social service agencies also receive various separate allocations/contracts of funds for Child Welfare Training, CWS/CMS System Support Staff, CWS Emergency Assistance Program, Family Preservation and Support programs, Foster Parent Training and Recruitment, Community Care Licensing, and Child Abuse Prevention.

## SECTION II. SCOPE OF WORK

### A. GENERAL SCOPE

Contractor agrees to conduct a study that evaluates the adequacy of the current Child Welfare Services (CWS) workload and associated budgeting methodology in funding today's CWS program. The contractor will be expected to make recommendations for revising the budgeting methodology, including appropriate caseload levels, supportive services, and preventative services in order to adequately fund the system, giving specific consideration to "state of the art" (as referenced in the SB 2030 legislation) advancements in the child welfare service delivery system.

### B. COLLABORATION

Contractor understands that the child welfare services system has many constituent groups and "Stakeholders" beyond CDSS (including, but not limited to: the County Welfare Director's Association, the California State Association of Counties, child welfare service consumers, children's advocacy organizations, and child welfare social worker organizations). Each may have a slightly different perspective on what is needed or not needed. In obtaining information from various Stakeholders, Contractor will need to ensure that a broad representative cross-section of Stakeholders are interviewed. In addition, close coordination with the SB 2030 Child Welfare Services Workload Advisory Group will be necessary to conduct this study.

### C. REQUIRED SERVICES

The primary goal of the workload study should be to understand the *routine practice* activities of child welfare workers and clerical staff in fulfilling their duties. A secondary goal of the workload study should be to understand the time needed to complete all *mandated practice* activities. A final goal of the study is to estimate the time required to engage in child welfare practice that can be considered *best practice* or "state of the art" (as referenced in the SB 2030 legislation).

The following describes CDSS's minimum level of services that would be required of the proposer selected in response to this RFP. Proposers may add to the requirements, upon approval by the advisory group, or propose a different method of achieving the results required, but proposers may not propose anything that would be less than the requirements set forth in this RFP.

- a. Coordinate with county welfare department staff (including supervisors and front-line staff) and pertinent CDSS staff to develop a study methodology that incorporates the state of the art advancements in child welfare practices, including service delivery variances, is consistent with the current state regulations and department policies (including staff training guidelines), and

gives consideration to statewide program variations and service enhancement initiatives.

- b. In coordination with county welfare department staff (including supervisors and front-line staff) and pertinent CDSS staff, identify standards, based on desired outcomes for children and families, to be used in the determination of an appropriate funding and resource allocation.
- c. Identify an equitable sampling methodology that includes all activities associated with a CWS case, gives consideration to statewide demographic and societal issues and incorporates program variations and service enhancement initiatives such as the Structured Decision Making pilot program, Wrap-Around Services, Family Group Conferencing, etc.
- d. Develop a quality control/assurance plan to ensure the adequacy and integrity of the data collected.
- e. Provide training to county welfare department study personnel and facilitate the evaluation process.
- f. Analyze the impact on the workload of worker experience (i.e., trainee, journeyman, etc.), actual monthly hours available to perform casework activities, and staff turnover.
- g. Analyze the impact of the need to provide pre-service and in-service training to child welfare workers and supervisors so they have the competencies required to assess the safety of children and to secure a safe family setting in which they may grow up. Recognizing that the responsibility for training child welfare professionals has historically been divided between the state and the counties, review the effects of competency-based training approaches on workload and the associated budgeting methodologies.
- h. Analyze the nature and degree of the problems experienced by families in need of child welfare services and the service needs of abused and neglected children and their families and examine the impact on the workload and associated budgeting methodologies.
- i. Analyze the impact on the workload of coordinating with other service entities (e.g., including, but not limited to: CalWORKs, Alcohol and Drug, Mental Health, Medical, Law Enforcement, Juvenile Courts, etc.) to meet the children's needs and recommend alternative approaches.
- j. Analyze the impact of the automated Child Welfare Services/Case Management System (CWS/CMS) on the CWS workload.
- k. Analyze the impact on the workload of services (including preventative services) procured through direct purchase or community based organizations.



- l. Review and perform a cost analysis evaluation of the current budgeting methodology that is used as the basis for estimating the costs of providing services (i.e., Proposed County Administrative Budget [PCAB]).
- m. Compile and analyze *all* data and recommend alternative workload/caseload standards (including appropriate caseload levels, supportive services and preventative services) which can be utilized for funding and resource allocation, considering that an appropriate budgeting and funding methodology will provide incentives to achieve desired outcomes.
- n. Develop and recommend a mechanism to reevaluate and update workload/caseload standards on a perpetual basis to incorporate state of the art program changes, legislative mandates, and demographic and societal changes.

#### **D. INFORMATION GATHERING**

Contractor shall gather information for the study using at least the following methods:

- a. Review of available literature for evaluations similar in purpose to that of the CDSS Child Welfare Services Workload Study.
- b. Review models of and/or approaches of other states, and other California governmental agencies.
- c. Meet with persons from relevant organizations within the CWS system for background and recommendations including, but not limited to: CDSS personnel, County Welfare Director's Association, California State Association of Counties, county social service agency personnel at all levels, consumers, children's advocacy organizations, child welfare social worker organizations, law enforcement and juvenile courts and National Organizations such as Child Welfare League of America (CWLA), as appropriate.
- d. Work cooperatively with other contractors conducting evaluations, projects and assessments of components within the CWS system. Included should be entities contracting with the state to implement the Structured Decision Making pilot program and training curriculum development and delivery. Ensure that any overlap in scope of activity is carefully coordinated, with seamless implementation where possible.

## **E. REPORTS AND PRESENTATIONS**

- a. Contractor shall submit written progress reports monthly (or more frequently as requested by CDSS) to the Contract Manager by the 10<sup>th</sup> working day following the reporting month. Each progress report shall include information on the progress of at least the following:
  - 1. Data collection: design, testing, implementation of data collection instruments; design of sampling methods, databases examined and data analyzed; data collected; including statistical or other techniques used.
  - 2. Recruiting, hiring, training, and monitoring the work of project staff.
  - 3. Accomplishment of the required services listed above.
  - 4. Whether the study is or is not on schedule (pursuant to the workplan), any difficulties or special problems that have been encountered that have influenced Contractor's ability to maintain the schedule, and what Contractor has done to try to remedy these difficulties or special problems.
  - 5. Preliminary or interim findings.
  - 6. Anything else that is pertinent for CDSS to know.
- b. Contractor shall meet on an as needed basis (at least monthly) with the Advisory Group to discuss the progress report and other issues as needed. The composition of the Advisory Group has been determined by CDSS.
- c. Contractor shall submit a draft of the final report to the Contract Manager by **December 31, 1999**.
- d. Contractor shall provide a verbal summary of the findings in the draft final report to the Advisory Group and other relevant CDSS staff. This should be done within three to five days after the delivery of the draft final report at a time and place designated by the Contract Manager.
- e. Once CDSS has reviewed the draft final report and submitted its comments to the Contractor, Contractor shall prepare the final report. The final report must be submitted to the Contract Manager by **January 31, 2000**.
- f. Contractor shall be prepared to assist in the presentation of the findings of the study, including its purpose, methods and implications, to Legislative committees, if so requested by CDSS and/or the Legislature.

- g. Contractor shall be prepared to provide a verbal summary of the study, its purpose, methods, and findings, if so requested by CDSS, to a group of Stakeholders who will be convened by CDSS at a time and place chosen by CDSS.

## **F. PRINCIPLES**

- a. The workload and budgeting methodologies recommended by Contractor must have credibility, meet the expectations of regulatory agencies, and provide a way of measuring impact.
- b. Contractor must consider both quantitative and qualitative standards. Quality measurement capability must be built into the system.
- c. The workload and budgeting methodologies developed by Contractor must take current and future technology into account.
- d. The current budgeting methodology is used to provide funds for use by county welfare departments to pay staff and operating expenses necessary to meet state and federal mandates. The methodology is not a mandated staffing pattern.

## **G. FLEXIBILITY**

County social service agencies fulfill their responsibilities in different fashions throughout the State. Although the vast majority of social service agencies operational activities are carried out in identical or very similar methods, there are examples where social service agencies consumers and responsibilities do differ significantly, including:

- Consumer population size
- Service area population size
- Consumer population characteristics
- Geographic (rural, urban, etc.), including impact to work related travel
- Social (employment opportunities, availability of services [required and general], existence of nonprofit agencies, public transportation, etc)
- Local management, budget, and county board philosophy
- Ethnicity, cultural, and language diversity
- Special consumer needs / demographics
- Court systems and processes

Contractor must ensure that the budget methodology, although designed to provide funding for all county social service agencies on a consistent basis, will nevertheless accommodate limited variations in the allocation process. All elements of the system must have confidence in the budget methodology as the most effective means of justifying and obtaining operational resources. They must also have a similar degree of confidence that proven variations of service delivery will not be impaired by too much rigidity in the allocation process.

## **H. OTHER CONSIDERATIONS**

In addition to case management limitations in the workload methodology, there are other areas where the current formula does not directly recognize actual workload. Notable examples include:

- a. Activities associated with the case that necessitate non-caseworker staff involvement (e.g., transportation, CWS/CMS input, visitation supervision, paralegal, audits, parent/relative searches, court intervention, etc.);
- b. Activities ancillary to casework that are performed by the caseworker (e.g., recruitment, licensing, training, phone screening, etc.);
- c. Early intervention and preventative services provided to families at risk of entering the child welfare system (e.g., school based, law enforcement, etc.).
- d. Involvement in special projects and workgroups.

## **I. RESPONSIBILITIES OF EACH PARTY**

### **1. CDSS:**

- a. To conduct an orientation meeting with the Contractor within five (5) days of the contract award to discuss issues, concerns, and progress;
- b. To monitor the Contractor's fiscal expenditures and activities to ensure contract compliance;
- c. To resolve any problems arising between the Contractor and the research counties or State agencies;
- d. To inform the counties of the projected evaluation activities and their timelines;
- e. To coordinate with the counties and the Contractor in making initial county site visits;
- f. To approve the required deliverables as specified in the Contract; and
- g. To inform Stakeholders, for example, the Legislature, of the evaluation's progress.
- h. To convene Advisory Group, as needed.

### **2. Contractor:**

- a. To attend an orientation meeting within five (5) days of the award of the contract;

- b. To prepare a memorandum summarizing those issues identified and the agreements reached at the orientation meeting and submit it to CDSS within five (5) working days from the date of the meeting.
- c. To collaborate with CDSS and the Advisory Group to set the evaluation boundaries and to finalize the evaluation methodology;
- d. To complete the tasks and deliverables within the prescribed time frames;
- e. To coordinate with CDSS prior to making initial site visits to the counties;
- f. To coordinate meetings with designated county staff;
- g. To maintain confidentiality procedures in accordance with requirements of state law when provided with client-level data for the evaluation process;
- h. To report fiscal expenditures in a manner prescribed by CDSS.

### **SECTION III. PROSPECTIVE CONTRACTOR'S QUALIFICATIONS**

At a minimum, the prospective contractor shall have and demonstrate the following qualifications and experience:

- a. Familiarity with the child welfare services system and other children and family service systems.
- b. Experience evaluating social service agencies.
- c. Experience conducting staffing/workload studies, including analyzing existing staffing/workload in organizations and developing standards to be utilized for budgeting and allocating purposes.
- d. Experience in collecting, analyzing and integrating data from multiple sources to accomplish the objectives of the study.
- e. Experience in conducting large, multi-faceted and complicated studies within the time lines allowed for the project, and within the budget designated.
- f. Experience in determining "state of the art" advancements in service delivery systems.

#### **Desirable Qualifications**

- Familiarity with California's child welfare system.
- Experience in cost and budget analysis evaluations.
- Experience in completing workload measurement evaluations in children's services programs.

Prospective contractor shall show evidence of the above qualifications and experience by providing:

- A list and description of the projects completed during the past five years that were similar in scope, complexity, content, and time frames required by the RFP.
- Documentation of these projects including (1) title of the project, (2) description of the work performed (3) dates for the work as performed, (4) organization for whom the work was performed, and (5) name, address, title and telephone number of the organization's project manager.
- Final reports of work completed on at least two of the listed projects.

## SECTION IV. RULES AND CONDITIONS

### A. GENERAL INFORMATION

#### 1. Whom to Contact for Information

All inquiries concerning this RFP *MUST* be directed to:

Ken Williams, Contracts Officer  
Contracts Section  
California Department of Social Services  
744 P Street, Mail Station 7-747  
Sacramento, CA 95814

Telephone (916) 657-1919

As of the issuance of this RFP, Bidders may contact only the individual identified above and are specifically directed not to contact other CDSS personnel for meetings, conferences, or technical discussions related to the RFP. No questions will be answered by other CDSS staff.

#### 2. Secondary RFP Method

The competitive bidding process being used for this procurement of services is known as the RFP secondary method. Proposals will first be reviewed for compliance with Section V, Proposal Format and Content. Those proposals that meet these requirements will then be evaluated according to the criteria in Section VI, Selection Process and Evaluation Criteria. The highest scoring proposal will be awarded the contract.

#### 3. Who May Submit Proposals

Proposals are invited from individuals, partnerships, public and private agencies and organizations who have knowledge and experience to perform the services described in Section II Scope of Work.

Bidders may submit only one (1) proposal for the CWS Workload Study evaluation. Each proposal must be inclusive of all requirements described in this RFP. More than one (1) proposal will not be accepted from any Bidder. Subcontractors may participate in more than one bid.

For the purposes of this RFP, the schools within the campuses under the University of California, California State University and California Community colleges are considered separate entities and may individually submit proposals.

#### 4. Term of Contract

The anticipated term of any resultant contract is from June 1, 1999 to June 30, 2000. However, the date of the final execution of the contract shall be the governing factor as to the date of commencement of work.

- 5. Budgeted Funding**  
It is anticipated that approximately \$600,000 will be appropriated for this contract.
- 6. California Office**  
Bidder must have, or will establish and maintain, an office within the boundaries of the State of California and charge any travel expenses using that California office as headquarters. Staff performing analytical work for this project shall be located in the California office.
- 7. Corporate Qualifications to Do Business in California**
  1. In order to ensure all obligations due the State are fulfilled, when contracts are to be performed in the State by Corporations, the CDSS will obtain verification that the contractor is currently qualified to do business in California.
  2. “Doing Business” is defined in Revenue and Taxation Code Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. While there are some statutory exceptions to taxation, it will be a rare instance when a corporate contractor performing within the State will not be subject to the franchise tax.
  3. Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. CDSS will determine whether a corporation is in good standing by calling the Office of the Secretary of State prior to award of a contract to a corporation.
- 8. Interpretations and Addenda**  
The CDSS reserves the right to amend, alter, or change the rules and conditions contained in this RFP prior to the deadline for submission of proposals. Any revisions to the RFP will be accomplished through addenda or supplements to the RFP and shall become a part of the RFP. The State will not be responsible for any other explanation or interpretation. All addenda will be sent to all persons and entities to whom CDSS sent copies of this RFP.
- 9. Bidder’s Cost of Developing Proposal**  
Costs of developing and submitting proposals are entirely the responsibility of the Bidder and shall not be chargeable in any way to the State.
- 10. Proposal Error Correction**  
If a Bidder realizes, before the proposal submission deadline, that the Bidder has made an error in the proposal, the Bidder may request to CDSS in writing that the proposal be withdrawn. Until the proposal submission



deadline, the Bidder may resubmit another proposal with the error corrected. Once the proposal submission deadline has passed, all proposals shall stand as written.

**11. Confidentiality of Proposals**

CDSS shall keep all proposals confidential until the evaluation process is completed and a notice of intent to award has been posted. Submission of a proposal by a Bidder shall constitute agreement to public disclosure of the proposal after the notice of intent to award is posted.

**12. Disposition of Proposals**

All proposals submitted become the property of the CDSS and may be returned, upon request, only at the CDSS' option and at the Bidder's expense.

**13. CDSS Use of Ideas and Concepts**

The CDSS reserves the right to use any and all ideas or concepts in any proposal submitted and/or selected for the award of the contract.

**14. Conflict of Interest**

a. Current State Employees (Public Contract Code Section 10410)

- 1) No officer or employee shall engage in any employment, activity, or enterprise from which the officer or employee received compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity, or enterprise is required as a condition of regular state employment.
- 2) No officer or employee shall contract on his or her behalf as an independent contractor with any state agency to provide goods or services.

b. Former State Employees (Public Contract Code Section 10411)

- 1) For the two-year period from the date of leaving State employment, no former state officer or employee may enter into a contract in which that person was engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any State agency.
- 2) For the twelve-month period from the date of leaving State employment, no former State officer or employee may enter into a contract with any State agency if that person was employed by that State agency in a policy-making position in the same general subject areas as the proposed

contract within the twelve-month period prior to his or her leaving State service.

## **15. Antitrust Claims**

- a. The Government Code Chapter on Antitrust claims contains the following definitions:
  - 1) “Public purchase” means a purchase by means of competitive bids of goods, services, or materials by the State or any of its political subdivisions or public agencies on whose behalf the Attorney General may bring an action pursuant to subdivision (c) of Section 16759 if the Business and Professions Code.
  - 2) “Public purchasing body” means the State or the subdivision or agency making public purchase. Government Code Section 4550
- b. In submitting a bid to a public purchasing body, the Bidder offers and agrees that if the bid is accepted, it will assign to the purchasing body all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U. S.C. Sec 15) or under the Cartwright Act (Chapter 2 (commencing with Section 16700) of part 2 of Division 7 of the Business and Professions Code), arising from purchases of goods, materials, or services by the Bidder for sale to the purchasing body pursuant to the bid. Such assignment shall be made and become effective at the time the purchasing body tenders final payment to the Bidder. Government Code Section 4552.
- c. If an awarding body or public purchasing body received, either through judgement, a monetary recovery for a cause of action assigned under this chapter, the assignor shall be entitled to receive reimbursement for actual legal costs incurred and may, upon demand, recover from the public body any portion of the recovery, including treble damages, attributable to overcharges that were paid by the assignor but were not paid by the public body as part of the bid price, less the expenses incurred in obtaining that portion of the recovery. Government Code Section 4553.
- d. Upon demand in writing by the assignor, the assignee shall, within one year from such demand, reassign the cause of action assigned under this part if the assignor has been or may have been injured in violation of law for which the cause of action arose and (a) the assignee has not been injured thereby, or (b) the assignee declines to file a court action for the cause of action. See Government Code Section 4554.

**16. Small Business Preference**

Section 14835, et seq. of the California Government Code requires that a 5% preference be given to Bidders who qualify as a small business. The rules and regulations of this law, including the definition of a small business for delivery of services, are contained in Title 2, California Code of Regulations, Section 1896, et seq.

To claim the small business preference, your firm must have its principle place of business located in California and be certified by the Department of General Services, Office of Small and Minority Business (OSMB) as a "small business". To be granted such preference, business concerns must have a completed application (including proof of annual receipts) on file with the Office of Small and Minority Business, request a preference and meet all applicable requirements not later than five o'clock (5:00 p.m.) on the date proposals are due. "Completed application" means all information has been received by the OSMB to complete a certification eligibility review and make an eligibility determination. Questions regarding application or preference approval should be directed to

Office of Small and Minority Business  
1531 I Street, Second  
Sacramento, CA 95814-2016  
Homepage – <http://www.dgs.ca.gov/osmb>  
(916) 322-5060 24 hour program message and mail requests  
(916) 323-5478 – receptionist

If you are claiming preference as a small business and are currently certified as a small business, submit a copy of your OSMB small business certification approval letter with your proposal. Certification must be in an industry group relating to the requirements of the RFP.

If you are claiming preference as a small business and have been assigned a Vendor Number by OSMB, it should be shown on the proposal cover letter, Attachment A.

**B. BIDDERS' CONFERENCE AND QUESTIONS**

CDSS will conduct a Bidders' Conference. The Bidders' Conference is to clarify the requirements of this RFP by answering previously submitted written questions, and accept written questions (identified by the author's name and company) to be answered at the Bidders' Conference or taken under submission to be answered by CDSS in writing. Remarks and explanations made at the conference do not change the provisions of the RFP and are not binding unless reduced to writing.

Questions concerning the RFP may be submitted in writing prior to the date of the Bidders' Conference according to the instructions below. CDSS reserves the right to determine, at its sole discretion, which questions will be answered verbally at the Bidders' Conference and which will be answered only in writing in the summary of issues raised.

A summary of the issues raised and questions answered at the Bidders' Conference, as well as a summary of previously submitted questions and respective responses will be prepared in writing and sent to all persons and/or agencies to whom CDSS has sent copies of this RFP.

The Bidders' Conference will take place at the following time and location, unless CDSS notifies the Bidders otherwise:

March 15, 1999 at 1:00 p.m.  
California Department of Social Services  
744 P Street, First Floor Auditorium  
Sacramento, CA 95814

Questions for the Bidders' Conference may be sent by mail or by fax to CDSS in advance of the conference date. All inquiries are to be labeled and addressed as follows:

**QUESTIONS: RFP 99-03**  
Ken Williams, Contracts Officer  
California Department of Social services  
Contracts Section  
744 P Street, M.S. 7-747  
Sacramento, CA 95814

FAX (916) 657-2362

Inquiries determined by CDSS to be specific to a particular Bidder may be responded to in writing to that Bidder only.

#### **C. SUBMISSION OF PROPOSAL**

1. The original and 10 copies of the proposal must be enclosed in a sealed envelope with the name and address of the Bidder. The lower left corner of the envelope should be plainly marked **"PROPOSAL FOR THE EVALUATION OF THE CHILD WELFARE SERVICES WORKLOAD AND ASSOCIATED BUDGETING METHODOLOGY, SEALED BID-DO NOT OPEN"** with the number **"RFP 99-03"**. See Section V for proposal format and content.

2. Proposals **MUST** be submitted either by mail or by personal delivery to:

California Department of Social Services  
Contracts Section  
Attention: Ken Williams, Contracts Officer  
744 P Street, Mail Station 7-747  
Sacramento, CA 95814

Proposals submitted to any other office will not be accepted.

3. **ALL PROPOSALS MUST BE RECEIVED BY 4:00 P.M. ON APRIL 5, 1999 AT THE ADDRESS ABOVE. POSTMARKS OR FACSIMILE TRANSMISSION (FAX) WILL NOT BE ACCEPTED IN LIEU OF THE REQUIREMENT. IT IS THE RESPONSIBILITY OF THE BIDDER TO ENSURE THE PROPOSAL IS SUBMITTED BY THE TIME AND DATE, AND TO THE ADDRESS SPECIFIED IN THE RFP. CDSS WILL REJECT ANY PROPOSAL NOT MEETING THIS RFP REQUIREMENT.** Persons delivering proposals should allow extra time for visitor security procedures. You will need to provide the security personnel with the name and telephone number of the person you are visiting so that they may call for an escort.

#### **D. REJECTION OF PROPOSALS**

1. Issuance of this RFP in no way constitutes a commitment by the CDSS to award a contract. CDSS reserves the right to reject any or all proposals received in response to this RFP, or to cancel this RFP, if it is deemed to be in the best interest of the State of California to do so.
2. Failure to furnish all information requested in this RFP or to follow the proposal format requested, may disqualify the proposal. Any exceptions to the scope of work required by this RFP *MUST* be explained in the proposal

#### **E. AWARD OF CONTRACT AND COMMENCEMENT OF WORK**

1. Award of the contract is contingent on successful negotiation of a contract and successful resolution of any protests.
2. The successful Bidder must agree to all terms and conditions of any resultant contract with CDSS as a condition of executing the contract.
3. The State of California shall have no contractual or other obligation to a Bidder under any successfully negotiated contract until the contract has been signed by both parties and approved by the Department of General Services (DGS).

## **F. PROTEST OF CONTRACT AWARD**

1. A public notice of proposed contract award will be posted in the Contracts office for five (5) working days after the evaluation of proposals is completed. Bidders have five (5) working days from the date of posting to protest the proposed award and to inform the Contracts Office. A letter of intent to protest must be received in the Contracts Office within the five (5) day posting period. A letter of intent to protest may be sent by regular mail, fax, courier or personal delivery. The letter of intent to protest should identify CDSS as the awarding agency, the RFP number, and the CDSS contact person. *If any bidder files a notice of intent to protest the award of the contract, the contract will not be awarded until either the protest has been withdrawn or DGS has decided the protest.*
2. Within five (5) working days after filing the notice of intent to protest, the protesting Bidder must file with DGS and CDSS a full and complete written statement specifying the grounds for the protest. The grounds for protest are specified in Public Contract Code (PCC) Section 10377 and 10378. The protest statement should include the Bidder's fax number if there is one.
3. The detailed protest must be submitted to the following addresses and may be sent by regular mail, fax, courier or personal delivery:
  - a. Department of General Services  
Office of Legal Services  
Attention: Protest Coordinator  
1325 J Street, Suite 1911  
Sacramento, CA 95814  
FAX: (916) 327-3916
  - b. California Department of Social Services  
Attention: Chief, Contracts Section  
744 P Street, M.S. 7-747  
Sacramento, CA 95814  
FAX: (916) 657-2362
4. Protests shall be limited to the following grounds:
  - a. CDSS failed to follow the procedures specified in either subdivision (b) or subdivision (c) of Public Contract Code, section 10377.
  - b. CDSS failed to apply correctly the standards for reviewing the formal requirements or evaluating the proposals as specified in the RFP.

- c. CDSS used the evaluation and selection procedure in subdivision (c) of Public Contract Code, Section 10377, but failed to follow the methods for evaluating and scoring the proposals specified in the RFP.
- d. CDSS used the evaluation and selection procedure in subdivision (c) of the Public Contract Code, Section 10377, but is proposing to award the contract to a proposer other than the Bidder who achieved the highest score.
- e. CDSS failed to follow the procedures specified in the RFP.

**NO DETAILED PROTEST STATEMENTS WILL BE ACCEPTED AFTER 3:00 P.M. ON APRIL 27, 1999.** An oral protest will not be accepted, and it is the Bidder's responsibility to ensure receipt by that date, time, and place indicated. A postmark will not be accepted as meeting the deadline requirement.

## **SECTION V. PROPOSAL FORMAT AND CONTENT**

In order to be considered for award, Bidder **MUST** supply all of the information requested in this section of the RFP. A proposal which fails to comply completely with these requirements will be deemed nonresponsive by CDSS. CDSS, however, may waive any immaterial noncompliance which in CDSS's judgement does not compromise the overall purpose of the RFP. The proposal **MUST** include the sections listed below and **MUST** be submitted in the following format and order. An RFP checklist (Attachment H) is provided for your use.

### **A. PROPOSAL FORMAT**

1. The proposal should be prepared simply and economically providing a straight-forward and concise delineation of the Bidder's ability to satisfy the requirements of this RFP. Fancy bindings, colored displays, and promotional materials are neither necessary or desired. Emphasis in the proposal should be completeness and clarity of content. The evaluation process will not provide credit for capabilities or advantages which are not clearly shown in the written proposal.
2. All proposals **MUST** be submitted with an original and 10 copies, on standard white paper, 8 ½ inches by 11 inches in size, typed, double-spaced, one-inch margins, with each page clearly and consecutively numbered.
3. The proposal must be submitted in the legal entity name of the Bidder. The proposal **MUST** be signed by the Bidder, a corporate officer or an authorized agent of the Bidder. **SIGNATURE FACSIMILE STAMPS WILL NOT BE ACCEPTED.**

### **B. PROPOSAL COVER LETTER AND STATEMENT OF INTENT TO MEET RFP REQUIREMENTS**

A Proposal Cover Letter and Statement of Intent is provided in the RFP as Attachment A. The Bidder **MUST** complete and submit Attachment A as part of the proposal.

### **C. TABLE OF CONTENTS**

A Table of Contents **MUST** be provided which identifies all major sections of the proposal by page number. All exhibits and attachments must also be identified and referenced by page number.



## **D. BODY OF PROPOSAL**

### **1. Statement of Purpose**

Proposals shall contain a narrative describing the proposer's understanding of the scope of the contract and the major issues related to Child Welfare Services Workload and associated budgeting methodology.

### **2. Study Design / Methodology**

The proposer is expected to develop a study design that outlines the work to be done, time frames, and a budget. The design should include: (1) research of applicable State and federal mandates, and contractual requirements; (2) review of other relevant reports, audits, and surveys, review of published literature, and historical information; and (3) site visits to a representative number of county welfare departments for purposes of direct observation and interviews. The contractor will survey all county child welfare agencies for organizational structures, job descriptions, types and numbers of positions as deemed necessary for the study. The design should include other methods deemed relevant to the study such as: telephone interviews, focus groups, and surveys.

The study design/methodology shall detail the overall approach to the study; the specific tasks to be done; how those tasks will accomplish which specific portions of the requirements; the methods that will be used to do the work and meet the requirements of the RFP; and the specific time frames for each major phase of the study. The study design shall be such that all items listed in the Required Services as set forth in Section II of this RFP, Scope of Work can be accomplished within the time and budget allotted.

### **3. Work Plan**

The work plan shall contain a detailed description of how, when, and by whom each activity required of the contractor will be accomplished. The work plan shall identify the dates and time frames for completion of each phase of the study, and the responsible staff. The work plan shall specify the estimated hours or days required to accomplish each task.

### **4. Background and Experience**

A narrative description is required of the Bidder's relevant background and experience. This description should not exceed five (5) typed, double-spaced pages in length. Pages in excess of five (5) will not be read. The following information should be included.

- a. Statements describing the extent of the Bidder's knowledge of and familiarity with:

- Public Social Service programs including the Child Welfare Service systems, and other children and family service systems;
  - California's child welfare system;
  - Completing workload measurement evaluations in children's services programs.
- b. Statements describing the Bidder's accomplishments in planning, managing and conducting comprehensive evaluations of social services agencies. Prior experience in conducting staffing/workload studies, including analyzing existing staffing/workload in organizations and developing standards to be utilized for budgeting and allocating purposes. Experience in cost and budget analysis evaluations.
  - c. Statements describing the Bidder's experience in integrating and analyzing data from multiple sources to accomplish the objectives of the study. Prior experience in conducting large multi-faceted and complicated studies within the time lines allowed for the project, and within the budget designated.
  - d. Statements describing the Bidder's experience in determining "state of the art" advancements in service delivery systems.
  - e. If the Bidder has no prior experience in providing the services required by the RFP, describe the Bidder's skills, abilities and/or other experience which demonstrates potential to succeed in this project.

## **5. Organizational Structure and Personnel Resources**

The content of this section should describe how the Bidder proposes to organize the resources necessary to complete the analysis and evaluation required by the RFP. The content should demonstrate the Bidder's ability to provide the services set forth in this RFP. Do not exceed five (5) typed, double-spaced pages. Pages in excess of five (5) will not be read. This section should include:

- a. **Services and Activities.** Provide a description of the nature of the Bidder's services and activities. Note when the Bidder, if a business, was established; its brief history; and location. List the location(s) of the office(s) from which the primary work on this contract would be performed. Bidder must give evidence that it has at least one California office, or will establish and maintain one California office, and will provide service through this location.
- b. **Principal Investigator.** Identify one (1) individual on the Bidder's evaluation team who will manage the evaluation. Describe the individual's overall experience in planning, managing and conducting comprehensive evaluations.

- c. Key Personnel. Specify the key personnel who will manage or conduct the work. Identify the role each person will serve, their title, where the individual is headquartered and the percentage of the firm's total effort that will be provided by the individual. "Key Personnel" are defined as those people in conjunction with the Principal Investigator who will exercise a major management and/or administrative role on behalf of the Bidder. "Key Personnel" also include individuals who are responsible for completing or assisting with the completion of the Deliverables described in Section II, Scope of Work. "Key Personnel" does not include clerical staff.
- d. Current resumes for key personnel. Include resumes describing education, experience and expertise with pertinent information demonstrating qualification for this RFP. Do not exceed two (2) pages per person.
- e. Provide the names, addresses and telephone numbers of all contemplated subcontractors. Also, clearly describe the services each will provide and the method used to secure their services. For each subcontractor, include resumes of key staff. Do not exceed two (2) pages per person.

CDSS will consider the successful Bidder to be the sole point of contact. However, all subcontractors must conform to all requirements of this RFP and *MUST* be approved by the CDSS, in writing, in advance.

- f. Organization Chart. Bidder must include an organization chart, showing the hierarchy of key personnel to be working on the evaluation(s). The chart must show the relationship between the Principal Investigator and key personnel of the Bidders organization and all other parties (subcontractors) to the proposal.

## **6. Budget**

All costs associated with the performance of the Scope of Work required in this RFP must be included in the format provided. The bid format shall not be altered. The cost for services shall be for the entire term of the contract. Proposals must include a signed and Completed Bid Sheet (Attachment B), a Budget Summary (Attachment C), a Personnel Budget (Attachment D), and a Budget Narrative (Attachment E).

The successful Bidder will be required to provide detailed budget information by each component.

**A. Cost for Services to Complete the Evaluation and Produce a Final Report (Section II E, a,b,c,d,e)**

Budget line-item costs must include the following:

a. Personnel Services

Job Title

Number of Budgeted Positions.

Monthly Salary Rate.

Number of Months Budgeted.

Percent of time each staff member will spend in providing services.

Total cost by job title.

Fringe benefits (List cost detail of each benefit to be paid).

Full staff time (i.e., 100 percent of effort) is a minimum of an eight-hour day or a 40-hour week. Employees' will be required to keep time records reflecting all hours worked on program-related activities. When an employee's time is shared with other projects or activities, the proposal must include an allocation plan to distribute time and costs to the various activities.

b. Operating Expenses and Equipment

Show the total operating expense, including percentages of costs that are incurred to provide the proposed services as distinguished from other ongoing organizational costs.

1) Consultant Costs

Number of consultants by job title.

Services to be provided.

Basis for costs, such as by hour, day or other reasonable basis.

Total cost for each consultant.

2) Travel Costs

Travel costs include the cost for lodging, food, commercial carrier fares, private car mileage allowance and incidental expenses incurred by personnel traveling on project-related activities.

Estimated total travel costs. Indicate: types of transportation to be used, such as automobile, plane or public transportation; approximate mileage, and per diem costs plus any other travel expenses.

**Any reimbursement for necessary travel and per diem expenses shall be at rates not to exceed those applicable to non-represented state employees under current Department of Personnel Administration rules and rates or Bidder must**

**submit verification that such rates are not available to Bidder. Refer to Attachment F for travel and per diem rates.**

- 3) Space  
Estimated costs for space may be based on the amount expected to be paid in rent. Where the facility is owned by the Bidder, costs may be reimbursed on the basis of depreciation or a use allowance. When space is rented, indicate whether the charge also provides for services such as utilities or parking.
- 4) Equipment  
The CDSS will not purchase or provide for the lease/purchase of equipment for the Bidder. Equipment should be provided by the Bidder. Equipment purchased with contract funds become the property of the State, and arrangements must be made at termination of the contract for the transfer of the equipment to the State.  
  
The amount expected to be paid for the lease or rental of equipment shall be included in the budget. Where equipment assigned to the project is owned by the Bidder, an amount based upon the current depreciation rate or upon a use allowance may be included in the budget.
- 5) Furniture  
The criteria set forth in the previous paragraphs for budgeting equipment costs also apply to furniture.
- 6) Consumable Supplies  
State the estimated cost of items such as paper, forms, folders, pens, pencils, etc.
- 7) Utilities  
Utilities that are not provided with space rent or use, such as power, water, electricity, gas, etc.
- 8) Communications  
Telephones, telegraphs, facsimile, postage, etc. State type of service to be provided, number of telephones, basis for payment, etc.
- 9) Printing  
Costs incurred specifically for the project are allowable and include printing, photocopying and other reproduction services.

10) Indirect Costs  
Include the rate and amount of any indirect costs. If the Bidder has an indirect cost rate (ICR) approved by federal agencies of the Department of Health and Human Services (DHHS) or other public grantors, a copy of the negotiation agreement should be submitted with the budget. All other ICRs must be fully explained and justified before they can be approved. (Note: universities and colleges should use their "Off Campus" rate.)

- c. Other Expenses  
Any expense not covered in the above categories must also be fully explained and justified.
- d. Bidder's Contribution  
Identify any special contribution capabilities of the Bidder such as the ability to assume costs for such items as equipment, facilities, supplies and services of volunteers without charging those costs to the contract.
- e. Other Sources of Funding  
Describe any other sources of funding such as other grants, donations, contracts, etc., for the same or similar services, or for any service connected to services that may be provided by a contract awarded for this proposal.
- f. Accounting Practices  
Each Bidder *MUST* demonstrate the Bidder's knowledge of generally accepted accounting practices and the ability to maintain accountability for contract funds, if awarded. A description of past experience in controlling funds in previous contractual agreements or from other sources *MUST also be provided*.

**B. Fee for Services to Make Presentations Regarding the Final Report  
(Section II E f and g) (Not to exceed a total of 20 hours)**

Fee will be reimbursed based on an hourly rate, calculated as follows:

[Average Total Monthly Salary Rates for All Job Titles (as identified on Attachment D) ÷ 22 (Average Monthly Work Days)] ÷ 8 hours

**7. Additional Attachments**

Disabled Veteran Business Enterprise (DVBE) Participation Program Requirements

Subject to exceptions in the Government Code and pursuant to regulations, state law requires that awarding agencies have an annual participation goal of three (3) percent for disabled veteran-owned business enterprises. The goal for the DVBE participation shall apply to this RFP.

Carefully read the requirements in Attachment G, Disabled Veteran Business Enterprise Participation Program.

## SECTION VI. SELECTION PROCESS AND EVALUATION CRITERIA

### A. RFP Evaluation Process

Proposals shall be evaluated and contracts awarded in the following manner.

1. All proposals shall be reviewed using the checklist (Attachment H) to determine whether they meet the content and format requirements specified in the RFP. Failure to meet all requirements for the RFP will be cause for rejection of the proposal. CDSS may reject any proposal as nonresponsive if it is conditional, incomplete, or contains irregularities. CDSS may waive any immaterial deviation in a proposal. Waiver of an immaterial deviation shall in no way modify the RFP documents or excuse the proposer from full compliance with the contract requirements if the proposer is awarded the contract.
2. All proposals meeting the format and content requirements shall therein be submitted to an evaluation committee which shall evaluate and score the proposals based on the proposal evaluation criteria specified in this RFP.
3. All proposals meeting the requirements of the RFP will be rated using the evaluation criteria identified below. The Bidder who receives the highest score shall be selected. In the event of a tie, a tie-breaking procedure will be determined by CDSS.
4. The tentative award will be posted and all proposals and scoring sheets shall be available for public inspection during normal business hours at the conclusion of the evaluation committee scoring process.

### B. Proposal Evaluation Criteria

Total Points Possible:	100	Maximum Points Per Section
<b>1. Adequacy of Proposer's Response to the Department's Request and Adequacy of Proposer's Study Design / Methodology</b>		<b>40</b>
<ul style="list-style-type: none"> <li>• Statement of Purpose Demonstrates an understanding of the scope of the services and major issues surrounding the CWS Workload and budgeting methodology.</li> <li>• Study Design Contains the items specified in Section V(D)(2) of the RFP and appears reasonable given the scope and time frames of the study.</li> </ul>		



- Methodology
  - Description of the methodology the Bidder intends to follow in conducting the evaluation and methods used to document the process, data to be collected, sampling frame, data to be used, and analysis.
  - Effectiveness and suitability of methodology.
  - Quality, creativity, and perceived effectiveness of proposed methodology and likelihood of achieving evaluation objectives.
- Work Plan
 

The work plan and corresponding timelines are appropriate to conducting a study that will accomplish all of the study objectives and RFP requirements.

## 2. **Adequacy of Background and Experience** 35

Extent and knowledge of familiarity with

- Public Social Services Programs, including the Child Welfare Service systems, and other children and family service systems;
- California's Child Welfare system;
- Workload measurement evaluations in children's services programs.
- Evaluating "state of the art" advancements in service delivery systems.
- Cost and budget analysis evaluations.

Quality of experience in previous evaluations.

- Verifiable documentation of Bidder's accomplishments in planning and conducting large evaluations, analyses of child welfare services or other related programs.
- Documentation of Bidder's experience in integrating and analyzing data from multiple sources to accomplish the objectives of the study and prior experience in conducting large multi-faceted and complicated studies within the time lines allowed for the project, and within the budget designated.

## 3. **Budget Information** 25

The use of the RFP secondary method requires that cost points be allocated among the Bidders. The allocation formula is as follows:

low bid amount/current bid being evaluated X maximum budget points.

Additionally, Bidders who are certified small business (see Section IV.A.16) will have an amount equal to five (5) percent of the lowest non-small business bid subtracted from their bid amount before the above formula is applied.

## **SECTION VII. CONTRACT INFORMATION**

This section contains contractual information, terms, and conditions surrounding the proposed contract:

**A. GOVERNING LAW**

Any contract awarded will be governed by the laws of the State of California.

**B. CONTRACT TERM**

The anticipated term of any resultant contract will be from June 1, 1999 through June 30, 2000. (1 year)

**C. EXECUTION**

Final execution of contract between CDSS and the contractor is contingent upon signature of both parties, approval by DGS, and appropriation of funds.

**D. CONTRACT PAYMENTS**

1. In consideration of the performance and completion of the foregoing in a satisfactory manner and upon receipt of detailed invoices monthly in arrears, CDSS agrees to reimburse Contractor for actual expenditures in accordance with the contract budget.
2. Progress payments shall be made to Contractor in the amount of each invoice and accompanying progress report, described in Section II (E) (a), less ten (10) percent withhold. The amount withheld for each invoice will be paid upon completion and CDSS approval of the final report.
3. Consultant services required after the submittal of the final report will be reimbursed based on an hourly rate as defined in V (D) (6) (B).

**E. TRAVEL**

Any reimbursement for necessary travel and per diem expenses shall be at rates not to exceed those applicable to non-representative state employees under current Department of Personnel Administration rules and regulations or Contractor must submit verification that such rates are not available to them.

**F. CONFIDENTIALITY OF INFORMATION**

The Contractor and the Contractor's employees *MUST* comply with the provisions of Section 10850 of the California Welfare and Institutions Code to ensure that no person will publish or disclose, or use or permit or cause to be published, disclosed or used, any confidential information pertaining to an applicant or recipient of public social services.

**G. RELEASE OF RESULTS**

The Contractor shall not release the results of any analysis of data associated with the evaluation of the Child Welfare Services Workload and Budgeting Methodology without prior approval from CDSS.

**H. COPYRIGHT**

1. The Contractor shall grant to the State a royalty-free, non-exclusive and irrevocable license to use, publish, reproduce, deliver, dispose of or authorize others to use, publish reproduce, deliver or dispose of all data, materials, and reports developed during the course of the contract which is covered by copyright; provided that, with respect to data not originated in performance of the contract, such license shall be in effect to the extent the contractor has the right to grant such license without becoming liable to pay compensation for other because of such grant.
2. The Contractor shall report to the State promptly and in written detail, each notice of claim of copyright infringement received by the Contractor with respect to all data delivered under this Agreement. The Contractor agrees to indemnify and hold harmless the State for any amount it may become obligated to pay because of copyright infringement by the Contractor.
3. The Contractor shall obtain releases, licenses, permits or other authorizations to use photographs, copyrighted materials, artwork or other property or rights belonging to third parties obtained for use in performing services for the CDSS.

**I. AUDIT**

Contractor agrees that the awarding agency or its delegate will have the right to review, obtain, and copy all records pertaining to performance of the contract. Contractor agrees to provide the awarding department or its delegate with any relevant information requested and shall permit the awarding agency or its delegate access to its premises, upon reasonable notice, during normal business hours for the purpose of interviewing employees and inspecting and copying such books, records, account, and other material that may be relevant to a matter under investigation for the purpose of determining compliance with PCC Section 10115 et seq., GC Section 8546.7 and 2 CCR Section 1896.60 et seq. Contractor further agrees to maintain such records for a period of three (3) years after final payment under the contract.

Contractor shall comply with the caveats and be aware of the penalties for violations of fraud and for obstruction of investigation as set forth in PCC Section 10115.10.

**J. NONDISCRIMINATION CLAUSE**

During the performance of the Agreement, Contractor and its subcontractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (cancer), age (over 40), marital status, and denial of family leave. Contractor and subcontractor shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. Contractor and subcontractor shall comply with the provisions of the Fair Employment and Housing Act (Government Code Section 12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, title 2, Section 7285 et. Seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated in this Agreement by reference and made a part hereof as if set forth in full. Contractor and its subcontractor shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other Agreement.

Contractor shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under the Agreement.

**K. AMERICANS WITH DISABILITIES ACT**

By signing this contract, Contractor assures the State that it complies with the American with Disabilities Act (ADA) of 1990, (42 U.S.C. 12101 et seq.), which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issues pursuant to the ADA.

**L. CONTRACTOR EVALUATIONS (STD 4)**

The contractor is advised that the provisions of Public Contract Code 10355 through 10382 pertaining to the duties, obligations, and rights of a consultant service contractor are applicable to this contract.

The contractor is hereby notified that the CDSS will monitor and evaluate the Contractor's performance and a Contract/Contractor Evaluation, Std, Form 4, will be prepared by the CDSS and may be submitted to the DGS within sixty (60) days after the completion of the contract.

**M. PRIORITY HIRING**

If the resulting contract will have a total contract value of \$200,000 or more, the contractor is hereby advised that it will be obligated to give priority consideration in filling vacancies in positions funded by the resulting contract to qualified recipients of aid under Welfare and Institutions Code Section 11200. This requirement shall not interfere with or require a violation of a collective

bargaining agreement, a federal affirmative action obligation or hiring disable veterans of the Vietnam era, or nondiscrimination compliance laws of California and does not require the employment of unqualified recipients of aid.

**N. RECYCLING CERTIFICATION**

The Contractor shall certify in writing under penalty of perjury, the minimum, if not exact, percentage of recycled content, both post consumer waste and secondary waste as defined in the Public Contract Code, Section 12161 and 12200, in materials, goods, or supplies offered or products used in the performance of this Agreement, regardless of whether the product meets the required recycled product percentage as defined in the Public Contract Code, Section 12161 and 12200. Contractor may certify that the product contains zero recycled content (PCC 10233, 10308.5, 10354).

**O. DRUG-FREE WORKPLACE**

By signing the contract, the Contractor or grantee hereby certifies under penalty of perjury under the laws of the State of California that the Contractor or grantee will comply with the requirements of the Drug-free Workplace Act of 1990 (Government Code Section 8350 et seq.) and will provide a drug-free workplace by taking the following action:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.
2. Establish a Drug-Free Awareness Program to inform employees about:
  - a. The dangers of drug abuse in the workplace;
  - b. The person's or organization's policy of maintaining a drug-free workplace;
  - c. Any available counseling, rehabilitation, and employee assistance programs; and
  - d. Penalties that may be imposed upon employees for drug abuse violations.
3. Every employee who works on the proposed contract will:
  - a. Receive a copy of the company's drug-free workplace policy statement; and
  - b. Agree to abide by the terms of the company's statement as a condition of employment on the contract.

**P. NATIONAL LABOR RELATIONS BOARD CERTIFICATION**

Contractor certifies that no more than one final unappealable finding of contempt of court by a federal court has been issued against Contractor within the immediately preceding two-year period because of Contractor's failure to comply with an order of a federal court which orders Contractor to comply with an order of the National Labor Relations Board.

**Q. LABOR CODE/WORKERS' COMPENSATION**

Contractor needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Contractor affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

**R. DISPUTE PROVISIONS**

1. If the Contractor disputes a decision of the State's designated representative regarding the performance of this Agreement or on other issues for which the representative is authorized by the Agreement to make a binding decision, Contractor shall provide written dispute notice to the State's representative within fifteen (15) calendar days after the date of the action.

The written dispute notice shall contain the following information:

- a. the decision under dispute;
- b. the reason(s) Contractor believes the decision of the State representative to have been in error (if applicable, reference pertinent contract provisions);
- c. identification of all documents and substance of all oral communication which support Contractor's position; and
- d. the dollar amount in dispute, if applicable.

2. Upon receipt of the written dispute notice, the State program management will examine the matter and issue a written decision to the Contractor within fifteen (15) calendar days. The decision of the representative shall contain the following information:

- a. a description of the dispute;
- b. a reference to pertinent contract provisions, if applicable;
- c. a statement of the factual areas of agreement or disagreement; and,
- d. a statement of the representative's decision with supporting rationale.

3. The decision of the representative shall be final unless, within thirty (30) days from the date of receipt of the representative's decision, Contractor files with the California Department of Social Services a notice of appeal addressed to:

Department of Social Services

Attention Chief, Contracts Section  
744 P Street, M.S. 7-747  
Sacramento, CA 95814

Pending resolution of any dispute, Contractor shall diligently continue all contract work and comply with all of the representative's orders and directions.

**S. CERTIFICATION REGARDING LOBBYING**

In accordance with Section 1352, Title 31, of the U.S. Code, the Contractor agrees to sign and submit to CDSS the 'Certification Regarding Lobbying' which will be forwarded to the Contractor with copies of the Agreement.

**T. TERMINATION**

Either party may terminate the Agreement upon thirty (30) days written notice to the other party.

## SECTION VIII. EXHIBITS AND ATTACHMENTS

### Exhibits

Exhibit I	Listing of Background information relative to the Child Welfare Services Program
Exhibit II	Overview of Child Welfare Services in California (Excerpt from Title IV-B State Plan)
Exhibit III	Social Services Function – Program Code Descriptions (12/98) Time Study Instructions
Exhibit IV	Proposed County Administrative Budget (PCAB) (Sample Copy)
Exhibit V	FY 1998/99 PCAB – CWS Final Data (2/8/99)
Exhibit VI	PCAB Concept and PCAB's Relationship to Allocations
Exhibit VII	Outcome Measures, Process Measures, and Conditions in the Child Welfare System – Report to the Legislature (March 1998)
Exhibit VIII	A Description of the <i>California Child Welfare Services Structured Decision Making Project</i>

### Attachments

Attachment A	Proposal Cover Letter and Statement of Intent to Meet RPF Requirements
Attachment B	RFP Bid Form
Attachment C	Budget Summary
Attachment D	Personnel Budget
Attachment E	Budget Narrative Format
Attachment F	Travel Rates
Attachment G	Disabled Veteran Business Enterprise Participation Program Requirements
Attachment H	RFP Checklist



## RFP 99-03 TIMELINE

**THE FOLLOWING SCHEDULE IS SUBJECT TO CHANGE WITHOUT PRIOR NOTIFICATION. The deadline for receipt of Proposals is not estimated. Proposals not received in the Contracts Section, California Department of Social Services, by the date and time specified WILL NOT BE ACCEPTED.**

<u>Activity</u>	<u>Date</u>	<u>Contact/Phone</u>	<u>Location</u>
Advertisement Posted by DGS	2/19/99	Ken Williams (916) 657-1919	Contracts Section 744 P Street, MS 7-747 Sacramento, CA 95814
RFP Mailed to Prospective Bidders	3/5/99	Ken Williams	Contracts Section (address above)
Bidders Conference	3/15/99	Ken Williams	Contracts Section (address above)
Final Date & Time for Receipt of Proposals	4/5/99 4:00 p.m.	Ken Williams	Contracts Section (address as above)
Review of Proposals Completed	4/16/99	Ken Williams	Contracts Section (address as above)
Posting of Tenta- tive Award in Contracts Section	4/20/99 9:00 a.m.	Ken Williams	Contracts Section (address as above)
Final Date & Time for Receipt of Intent to Protest	4/27/99 3:00 p.m.	Protest Coordinator DGS Office of Legal Services & CDSS Contracts Section	Dept. of General Services Office of Legal Services 1325 J Street, Suite 1911 Sacramento, CA 95814
Final Date & Time for Receipt of Protest of Awards*	5/4/99 3:00 p.m.	Same as above	Dept. of General Services (address as above)
Notification of Proposed Awards and Denials	5/5/99	Ken Williams	Contracts Section (address as above)

**\*Protestant MUST submit details of protest no later than five (5) working days after filing letter of Intent to Protest. The latest date and time for acceptance of detailed protest is 3:00 p.m. on 5/4/99.**

## Exhibit I

### Background Information

<b>Information</b>	<b>Availability</b>
Overview of Child Welfare Services in California (Excerpt from the Title IV-B State Plan)	Attached – Exhibit II*
Division 31 Child Welfare Services Program Regulations (Manual of Policies and Procedures)	Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/getinfo/policypro.html">www.dss.cahwnet.gov/getinfo/policypro.html</a>
Chronological Index of All County Letters (ACLs) issued from 1974 – 1998	Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/getinfo/ltrnotice.html">www.dss.cahwnet.gov/getinfo/ltrnotice.html</a>
Chronological Index of All County Information Notices (ACINs) issued from 1978 – 1998	Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/getinfo/ltrnotice.html">www.dss.cahwnet.gov/getinfo/ltrnotice.html</a>
Chronological Index of County Fiscal Letters (CFLs) issued from 1989-1998	Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/getinfo/ltrnotice.html">www.dss.cahwnet.gov/getinfo/ltrnotice.html</a>
ACL Number 97-54 (9-10-97) through Number 99-10 (2-9-99)	Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/getinfo/ltrnotice.html">www.dss.cahwnet.gov/getinfo/ltrnotice.html</a>
ACIN Number I-30-98 (5-14-98) through Number I-15-99 (2-19-99)	Other ACLs available upon request. Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/getinfo/ltrnotice.html">www.dss.cahwnet.gov/getinfo/ltrnotice.html</a>
CFL Number 97/98-62 (6-10-98) through CFL Number 98/99-61 (2-10-99)	Other ACINs available upon request Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/getinfo/ltrnotice.html">www.dss.cahwnet.gov/getinfo/ltrnotice.html</a>
Social Services Function - Program Code Descriptions (12/98). Time Study Instructions.	Other CFLs available upon request Attached – Exhibit III*
Child Welfare Services (CWS) Final Allocation for Fiscal Year (FY) 1998-99 (County Fiscal Letter No. 98-99-32)	Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/getinfo/ltrnotice.html">www.dss.cahwnet.gov/getinfo/ltrnotice.html</a>
Local Assistance Estimates for the 1999-00 Governor's Budget (Estimating Methodologies)	Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/estimates/05EstimateMethodologies.PDF">http://www.dss.cahwnet.gov/estimates/05EstimateMethodologies.PDF</a>
Proposed County Administrative Budget (PCAB) (Sample Copy)	Attached - Exhibit IV* Sample copies of actual county PCAB data available upon request.
FY 1998/99 PCAB – CWS Final Data (2/8/99)	Attached - Exhibit V*

## Exhibit I

### ***Background Information***

<b><i>Information</i></b>	<b><i>Availability</i></b>
PCAB Concept and PCAB's Relationship to Allocations (Flow Charts)	Attached – Exhibit VI*
Outcome Measures, Process Measures, and Conditions in the Child Welfare System – Report to the Legislature (March 1998)	Attached - Exhibit VII*
A Description of The California Child Welfare Services Structured Decision-Making Project (February 1999)	Attached – Exhibit VIII*
Senate Bill (SB) 933 Best Practice Guidelines for Assessment of Children and Families (ACIN No. I-78-98)	Accessible on the Internet at the following website: <a href="http://www.dss.cahwnet.gov/getinfo/ltrnotice.html">www.dss.cahwnet.gov/getinfo/ltrnotice.html</a>
Child Welfare Services Case Management System – Background Information	Accessible on the Internet at the following website: <a href="http://www.childsworld.org/welfare/cwscms.htm">www.childsworld.org/welfare/cwscms.htm</a>
Other Background Information Relative to CDSS Children and Family Services Division	Accessible on the Internet at the following website: <a href="http://www.childsworld.org">www.childsworld.org</a>
California Social Work Education Center (CalSWEC) Reports: <ul style="list-style-type: none"> <li>• CWS Practice</li> <li>• Curriculum</li> <li>• Case Studies</li> </ul>	Accessible on the Internet at the following website: <a href="http://hav54.socwel.berkeley.edu/research.html#calswec">http://hav54.socwel.berkeley.edu/research.html#calswec</a>
Assembly Bill (AB) 377 – System of Care Annual Reports	State Department of Mental Health

\* Only material unavailable on the *Internet* is enclosed with this RFP

## OVERVIEW OF CHILD AND FAMILY SERVICES

The CDSS is the single State agency responsible for administering the federal Title IV-B program in California. The CDSS is one of thirteen organizations that make up California's Health and Welfare Agency and it is responsible for administering the following four major program areas:

- Welfare
- Social Services
- Community Care Licensing
- Disability Evaluation

The majority of the programs within CDSS are federally funded, state directed and locally operated. The CDSS is responsible for the supervision and coordination of programs in California funded under federal Titles IV-A, IV-B, IV-D, IV-E, and XX of the Social Security Act. Most recipients receive services directly from local agencies in the areas in which they live. For example:

- Child support services are provided by county district attorney offices.
- Welfare, foster care and food stamp recipients are served by county welfare agencies.
- A multitude of community-based organizations, such as food banks, child care and residential care facilities also provide a variety of welfare and social services.

The CDSS provides some direct services such as issuing licenses to community care facilities and conducting certain hearings and appeals. Our larger role involves protecting the interests of all Californians by fairly and equitably administering all laws affecting their welfare. This is accomplished by directing the work of local agencies through the formulation and implementation of statewide regulations and policies.

The mission of CDSS is to ensure that needy and vulnerable children and adults are served, aided and protected in ways that strengthen and preserve families, encourage personal responsibility and foster independence.

In a society that has become increasingly diverse and complex, CDSS strives to carry out its mission of providing aid, services and protection to needy children and adults. At the same time, the CDSS strives to strengthen and encourage individual responsibility and independence for families. By managing and funding its programs, the objectives of CDSS are carried out by employees located in 51 offices throughout the State, the 58 county welfare departments, the 58 county district attorney offices and a host of community-based organizations.

The Children and Family Services Division (CSFD) of DSS has a primary responsibility of administering children and family services in the State. The CSFD plays a vital role in the development of policies and programs that implement the goals of the CDSS's mission. This is accomplished by collaborating with other State and local agencies and community-based organizations to enable families' opportunities for success to be maximized. The child and family services system in California is statewide and is comprised of the following major components:

### **Child Abuse Prevention and Family Support Services**

The child abuse prevention and family support services component of the service delivery system are administered by the Office of Child Abuse Prevention (OCAP) within CSFD. Responsibilities within OCAP consist of a wide range of community-based services including child abuse prevention and treatment services that promote the safety and well-being of children and families. These services are designed to increase family strength and stability, to provide children with a stable and supportive family environment and to enhance child development. The OCAP serves as a statewide center for public and private child abuse prevention, intervention and treatment programs. OCAP also administers programs funded under the Child Abuse Prevention and Treatment Act (CAPTA).

### **Child Welfare Services**

Child Welfare Services (CWS) is the major system of intervention for child abuse and neglect in California. Current state law provides for CWS which are directed toward the accomplishment of the following purposes:

- protecting and promoting the welfare of all children, included handicapped, homeless, dependent or neglected children;
- preventing, remedying, or assisting in the solution of problems which may result in the exploitation or delinquency of children;
- preventing the unnecessary separation of children from their families by identifying family problems, assisting families in resolving their problems, and preventing breakup of the family where the prevention of child removal is desirable and possible;
- restoring to their families children who have been removed, by the provision of services to the children and their families;
- identifying children to be placed in suitable adoptive homes in cases where the restoration to the biological family is not possible or appropriate; and
- assuring permanence for children in out-of-home care who cannot be returned home or placed for adoption.

The CWS component of the child and family service delivery system is administered by the Children's Services Branch and the Foster Care Branch within CFSD. The Children's Services Branch has primary responsibility for the preplacement services and family preservation components. The Foster Care Branch has primary responsibility for the placement/out-of-home care system. Together, these two Branches have ongoing responsibility to ensure that the State's program continues to comply with the provisions of 42 United States Code Section 622 (b) (9).

The following major components comprise the CWS system:

***Emergency Response*** is a response system designed to provide in-person response, 24 hours a day, to reports of abuse, neglect, or exploitation. Its purpose is to investigate and to determine the necessity for providing initial intake services and crisis intervention to maintain the child safely in his/her own home or to protect the safety of the child through emergency shelter care.

***Family Support*** services are primarily community-based preventive activities designed to alleviate stress and promote parental competencies and behaviors that will increase the ability of families to successfully nurture their children and to enable families to use other resources and opportunities available in the community.

***Family Maintenance*** consists of time-limited services that are designed to provide in-home protective services to prevent or remedy neglect, abuse or exploitation. These services are intended to prevent the separation of children from their families.

***Family Preservation*** services are intensive services for families whose children, without such services, would be subject to imminent risk of out-of-home placement, would remain in existing out-of-home placements for longer periods of time, or would be placed in a more restrictive out-of-home placement.

***Family Reunification*** is time-limited services to children in out-of-home care to prevent or remedy neglect, abuse or exploitation when the child cannot remain safely at home and needs temporary foster care while services are provided to reunite the family.

***Permanent Placement*** consists of providing alternative family structures for children who, because of abuse, neglect or exploitation cannot remain safely at home and who are unlikely ever to return home. These services are provided when there has been a judicial determination of a permanent plan for adoption, legal guardianship, or long-term foster care.

***Foster Care*** includes payments to cover the cost of, and the cost of providing, food, clothing, shelter, daily supervision, school supplies, a child's personal incidentals and reasonable travel, including travel to the child's home for visitation. The foster care/out-of-home care system is designed to serve and protect those children who cannot remain in their homes. Current placement options include family homes (relatives or licensed foster family homes), certified homes of foster family agencies and group homes. All out-of-home care providers, with the exception of relatives, and legal guardians, are licensed by CDSS, county licensing offices or foster family agencies based on varying criteria.

***Independent Living*** consists of education and services for foster youth 16 years and older based on an assessment of needs and designed to help the youth transition successfully from foster care to living independently. These services are provided to enhance basic living skills as well as job career development skills.

***Adoptions*** includes services related to the recruitment of potential adoptive parents, financial assistance to adoptive parents to assist in the support of special needs children, and direct relinquishment and independent adoption services. Potential adoptive families are home studied, approved and children who cannot return to their families are placed with them.



SOCIAL SERVICES FUNCTION  
PROGRAM CODE DESCRIPTION (12/98)

I. GENERAL FUNCTION DEFINITION

Any activity related to achieving or maintaining economic self growth to prevent, reduce, or eliminate dependency; preventing or remedying neglect, abuse, or exploitation of children and adults; preserving, rehabilitating or reuniting families; preventing or reducing inappropriate institutional care by providing for community-based care, home-based care, or other forms of less intensive care; and providing services to individuals in institutions.

II. GENERAL INSTRUCTIONS FOR COMPLETING THE TIME STUDY

- A. Complete the time study on a continuous basis throughout the day.
- B. Round hours to the nearest quarter hour.
- C. **CURRENT METHODOLOGY:** Record the total hours worked for each day; do not record overtime (OT) and compensating time off (CTO) hours worked in the total hours for the day. When CTO is used, record the time to the program or activity in which it was earned. If the county does not have a system in place to track CTO to the program in which it was earned, CTO may be recorded as nonallocable when used.

**OPTIONAL METHODOLOGY FOR USE BY COUNTIES ELECTING TO DIRECT CHARGE OT AND CTO TO THE PROGRAM LEVEL:** Record the total hours worked for each day; do not record OT and CTO hours worked in the total hours for the day. When CTO is used, record the time to the program which caused the overtime. If the county does not have a system in place to track CTO to the program that caused the overtime, CTO may be recorded as nonallocable when used.

- D. Record travel time to the program with which it is associated.
- E. Record breaks, dock, furlough, and leave without pay time, holidays, jury duty, military leave, sick leave, and vacation as nonallocable. Lunch and normal days off are not recorded.
- F. Record time spent in continuing training to the associated program; if not identifiable to a program, record as generic.
- G. Record quality assurance and program integrity activities to the associated program.
- H. Record time for conferences and staff meetings to the associated program or function; if not identifiable to either, record as generic.

- I. The total allocable and nonallocable hours recorded for each day must equal the total assigned routine work hours, as defined by the county welfare department.
- J. Caseworkers who perform administrative activities, whether full-time or part-time, will record these activities to generic.
- K. First-line supervisors of caseworkers record their nonallocable time and any direct time spent on casework activity on a daily basis. Time spent on supervision is allocated to the appropriate programs at the end of the time study period based on the allocable time of their staff.

### III. TIME STUDY STAFF

Staff performing the activities listed below are required to record time to the Social Services programs; staff who are not listed must obtain prior authorization from CDSS to record casework time to Social Services programs.

- A. Caseworkers performing social services activities specified in the program descriptions below;
- B. Staff performing Adoptions and appeals activities;
- C. First-line supervisors of the staff listed in A and B above.

The criteria for the Skilled Professional Medical Personnel (SPMP) are as follows:

- a. Must have completed a two year or longer program leading to an academic degree or certificate in a medically-related profession;
- b. Must possess a medical license or certificate issued by a recognized national or state medical licenser or certifying national or state medical licenser or certifying organization, or a degree in a medical field issued by a college or university certified by a professional medical organization (e.g., registered nurse);
- c. Must be in a position that requires their professional medical knowledge and skills as evidenced by position descriptions, job announcements, or job classifications; and
- d. Must be CWD or other county agency staff contracted to perform allowable activities.

NOTE: "Caseworkers" are CWD staff who perform activities which benefit public assistance recipients. Caseworker activities may include any of the following: case management, the determination of eligibility for grants and services, grant maintenance, needs assessment, arranging for and providing employment training services or social services, and welfare fraud investigations. Manual of Policies and Procedures (MPP) 25-810.4.

#### IV. CODE DEFINITIONS

##### CODE 1020 IHSS - SPMP

Includes the following activities for welfare staff meeting the SPMP requirements:

1. A physician completing the certification that an IHSS recipient needs personal care services.
2. A registered/public health nurse reviewing the case, reviewing the services authorized by the social worker as outlined in the Needs Assessment, reviewing the certification of medical necessity for consistency with the authorized services, providing consultation on the recipient's service needs, monitoring the recipient's condition and effectiveness of the client's Personal Care Services Program (PCSP) services, providing expert medical opinions related to the treatment plan, and liaison activity with service providers and other agencies that provide medical care on the medical aspects of PCSP.
3. Performing selected activities to help IHSS recipients who are Medi-Cal eligible to gain access to Health Related (HR) services in order to reduce their risk of poor health outcome. These activities include, but are not limited to the development, implementation and management of HR service plans; referrals to other agencies and programs for the assessment, evaluation, or treatment of HR needs; interagency coordination and liaison with providers of HR services to improve the service delivery system; and informing and anticipatory guidance about the causes, and prevention and remediation of HR needs.

##### CODE 1030 IHSS - PCSP

Includes development, implementation, and management of the plan of treatment; referrals to other agencies and programs; determining third-party insurance coverage; referring IHSS-PCSP recipients to potential individual providers to assist them in selecting a provider; transporting or accompanying recipients to obtain services related to personal care; obtaining a doctor's

certificate; making eligibility determinations and redeterminations for IHSS-PCSP; statistical reporting; voter registration activities; and processing provider grievances.

CODE 1031 IHSS - HR

Includes explaining, arranging for, and authorizing IHSS services when such activities are HR and provided to Medi-Cal eligible IHSS recipients; computation of any share of cost; development, implementation, and management of plans of treatment; outreach activities to inform IHSS Medi-Cal eligible recipients of available services and programs; providing assistance to eligible recipients to access needed HR services; and statistical reporting. This code applies to all HR activities on non-PCSP cases.

CODE 1032 IHSS SUPPORTED INDIVIDUAL PROVIDERS (SIP) - PCSP

Includes time spent assisting IHSS-PCSP recipients in selecting an individual provider(s); assisting and training the recipient in the supervision of their individual provider(s); and the actual transporting or accompaniment of the recipient to services related to personal care.

Coordinating the outreach and recruitment of potential individual providers; establishing and maintaining a list of potential providers that recipients can choose from; and, conducting orientation for recipients and individual providers on the IHSS program.

CODE 1033 IHSS SIP - HR

Includes time spent assisting IHSS-Non PCSP eligible recipients in selecting an individual provider(s); assisting and training the recipient in the supervision of their individual provider(s); and the actual transporting or accompaniment of the recipient to services.

CODE 1040 IHSS - NON-HR/NON-PCSP

Includes IHSS activities not eligible for Title XIX funding. These activities are related to non-HR activities on non-PCSP cases. Includes time spent explaining IHSS program benefits to applicants/recipients; explaining employee and employer responsibilities; assessing service needs; development implementation and management of plans of treatment; implementation activities for any IHSS court cases; processing a claim form and calculating the benefits related to a court case ruling; data input of claims; preparing reports; participation in case reviews and audits; voter registration activities; appeals, case dictation, and statistical reporting.

CODE 1041 IHSS SIP - NON-HR/NON-PCSP

Includes time spent assisting IHSS Program recipients not eligible for federal Medi-Cal funding, including non-PCSP recipients, in selecting an individual provider(s); assisting and training the recipient in the supervision of their individual provider(s); and the actual transporting or accompaniment of the recipient to services.

CODE 3300 IN-HOME SUPPORTIVE SERVICES (IHSS) COUNTY SERVICES BLOCK GRANT (CSBG)

Includes fraud activities related to IHSS CSBG performed by Welfare Fraud Investigators and their first-line supervisors who have peace officer status under Penal Code Section 830.

CODE 1130 CSBG-SPMP

Includes time spent by SPMP performing selected activities to help adult **CSBG** clients who are Medi-Cal eligible to gain access to health related services in order to reduce their risk of poor health outcome. These activities include, but are not limited to the development, implementation and management of health related service plans; referrals to other agencies and programs for the assessment, evaluation, or treatment of health related needs; interagency coordination and liaison with providers of health related services to improve the service delivery system; informing and anticipatory guidance about the causes, prevention, and remediation of health related needs.

CODE 1140 CSBG - HR

Includes time spent performing activities to help adult CSBG recipients, who are Medi-Cal eligible, to gain access to medical services and attain and/or maintain a favorable physical or mental health condition by assisting the recipient in identifying and understanding their health needs.

This includes performing or assisting the eligibility worker in the determination or documentation of the recipient's Medi-Cal eligibility; development, implementation, and management of health plans; outreach activities to Medi-Cal eligible or potentially eligible persons about available services and programs; referrals to other agencies and programs for health needs; providing assistance to eligible recipients to access needed health related services; and statistical reporting.

CODE 1150 CSBG

Includes time spent performing activities not eligible for Title XIX funding for adult CSBG recipients. This includes information and referral activities, out-of-home care for adults, and optional services funded under CSBG.

CODE 5691 APS – EMERGENCY RESPONSE

Includes time spent performing activities in response to emergency reports involving abuse, neglect, or exploitation of adult CSBG clients who also meet the criteria for APS. APS clients are defined as elder or dependent adults who are unable to protect their own interests; harmed or threatened with harm; caused physical or mental injury due to action or inaction of another person or as a result of ignorance, illiteracy, incompetence, mental limitation, substance abuse or poor health, lacking in adequate food, shelter, or clothing; exploited for their income and resource; or deprived of entitlements due them. Allowable emergency response activities may include, but are not limited to:

- Implementing and operating a 24-hour emergency response program;
- Evaluating and investigating reports of abuse, neglect, or exploitation, including reports on the 24-hour hotline;
- Determining client risk for emergency response by screening in-coming calls, and when necessary, through face-to-face meetings, or during home visits;
- Determining whether a reported situation is an emergency or non-emergency within required timeframes;
- Determining emergency response needs;
- Providing social work activities designed to remedy or prevent situations of abuse, neglect, or exploitation;
- Arranging for emergency food, housing, medical, counseling, emergency shelter, and in-home protective care, as needed;
- Providing crisis intervention;
- Referring clients to appropriate emergency response service agencies;
- Assisting clients voluntarily into shelter in response to emergencies;
- Gathering documentation of abuse for law enforcement agencies during an investigation, as requested;
- Documenting client activities in the case file;
- Locating a friend or relative to act as a collateral contact or a support system;
- Processing court petitions and declarations for conservatorship; and
- Preparing written reports and assessments.

CODE 5701 APS – CASE MANAGEMENT

Includes time spent performing case management activities in non-emergency situations or continuing case management for cases where the emergency has

ceased. Activities reported to this code are limited to those provided for adult CSBG clients who meet the criteria for APS (see definition in Code 5691). Allowable activities are those necessary to bring about changes in lives of victims and to provide a safety net to enable victims to protect themselves in the future. Such activities may include, but are not limited to:

- Investigating and reporting protection issues, including, but not limited to, social, medical, environmental, physical, emotional, and developmental needs;
- Assessing the client's concerns and needs and the concerns and needs of other members of the family and household;
- Analyzing problems and strengths of the client, family, household;
- Establishing and updating a service plan to alleviate the identified problems, coordinating with other agencies which may include:
- Brokering case management services with peripheral agencies.
- Money management.
- Voluntary placement.
- Removal of client from their home
- Family issues, including stress, conflict, management, caregiving issues.
- Conservatorship in-home services needs.
- Providing counseling for clients and significant others to alleviate identified problems and to implement the service plan, including negotiating, mediating, and participating in problem solving;
- Stabilizing and linking with community services;
- Training for law enforcement, banking officials, etc.
- Conducting conservatorship investigations, when appropriate, and preparing petitions for conservatorship;
- Arranging for food, housing, medical, and counseling services, as needed;
- Providing 24-hour shelter, respite care for providers, emergency in-home caregivers for clients whose caregivers have left the home or been arrested;
- Monitoring and follow-up; and
- Reassessments, as appropriate.

CODE 5711 APS-SPMP-EMERGENCY RESPONSE

Includes time spent by SPMP performing activities in response to emergency reports involving abuse, neglect, or exploitation of Medi-Cal eligible adults who meet the eligibility criteria for APS as defined in Code 5691. Activities are limited to those necessary to help clients gain access to medical services in order to reduce risk or poor health outcomes. These may include, but are not limited to:

- Implementing a health-related emergency response service plan;
- Evaluating and investigating reports of abuse, neglect, or exploitation, including reports on the 24-hour hotline;
- Determining whether a reported situation is a health related emergency or non-

- emergency within required timeframes;
- Determining emergency response health needs;
- Providing health related services to remedy or prevent situations of abuse, neglect, or exploitation;
- Arranging for emergency food, housing, medical, counseling, emergency shelter, and in-home protective care, as needed;
- Providing crisis intervention;
- Referring clients to appropriate emergency response service agencies for treatment of health related needs;
- Assisting clients with voluntary placement in response to emergencies;
- Gathering documentation of abuse for law enforcement agencies during an investigation;
- Documenting client activities in the case file;
- Locating a friend or relative to act as a collateral contact or a support system for health related needs;
- Processing court petitions and declarations for conservatorship; and
- Preparing written reports and assessments.

CODE 5721 APS-SPMP – CASE MANAGEMENT

Includes time spent by SPMP performing case management activities in non-emergency situation or continuing case management for cases where the emergency has ceased. Activities reported to this code are limited to those provided for Medi-Cal eligible adults who meet the criteria for APS (see definition in Code 5691).

Allowable activities are those necessary to help clients gain access to medical services in order to reduce risk or poor health outcomes, bring about changes in the lives of victims, and to provide a safety net to enable victims to protect themselves in the future. These may include, but are not limited to:

- Investigating and reporting protection issues, including, but not limited to, social, medical, environmental, physical, emotional, and developmental needs;
- Assessing the client's concerns and needs and the concerns and needs of other members of the family and household;
- Analyzing health related problems and strengths of the client, family, household;
- Establishing and updating a service plan to alleviate the identified problems, coordinating with other agencies which may include:
  - Voluntary removal of clients from their home
  - Family issues, including stress, conflict, management, caregiving issues.
  - Conservatorship needs.
- Providing counseling for clients and significant others to alleviate identified problems and to implement the health service plan, including negotiating, mediating, and participating in problem solving;



- Stabilizing and linking with community services for health related needs;
- Arranging for food, housing, medical, and counseling services, as needed;
- Monitoring and follow-up; and
- Reassessments, as appropriate.

CODE 5731 APS-HR – EMERGENCY RESPONSE

Includes time spent performing activities in response to emergency reports involving abuse, neglect, or exploitation of Medi-Cal eligible adults who meet the eligibility criteria for APS as defined in Code 5691. Allowable activities are limited to those necessary to help clients gain access to medical services in order to reduce risk or poor health outcomes. These may include, but are not limited to:

- Implementing a health-related service plan;
- Evaluating and investigating reports of abuse, neglect, or exploitation, including reports on the 24-hour hotline;
- Determining whether a reported situation is a health related emergency or non-emergency within required timeframes;
- Determining emergency response health needs;
- Providing health related services to remedy or prevent situations of abuse, neglect, or exploitation;
- Arranging for emergency food, housing, medical, counseling, emergency shelter, and in-home protective care, as needed;
- Providing crisis intervention;
- Referring clients to appropriate emergency response service agencies for treatment of health related needs;
- Assisting clients into voluntary shelter in response to emergencies;
- Gathering documentation of abuse for law enforcement agencies during an investigation;
- Documenting client activities in the case file;
- Locating a friend or relative to act as a collateral contact or a support system for health needs;
- Preparing written reports and assessments.

CODE 5741 APS-HR – CASE MANAGEMENT

Includes time spent performing case management activities in non-emergency situations or continuing case management for cases where the emergency has ceased. Activities reported to this code are limited to those provided for Medi-Cal eligible adults who meet the criteria for APS (see definition in Code 5691). Allowable activities are those necessary to help clients gain access to medical services in order to reduce risk or poor health outcomes, bring about changes in the lives of victims, and to provide a safety net to enable victims to protect themselves in the future. These may include, but are not limited to:

- Investigating and reporting protection issues, including, but not limited to, social, medical, environmental, physical, emotional, and developmental needs;
- Assessing the client's concerns and needs and the concerns and needs of other members of the family and household;
- Analyzing health problems and strengths of the client, family, household;
- Establishing and updating a health related service plan to alleviate the identified problems, coordinating with other agencies which may include:
- Voluntary removal of clients from their home.
- Family issues, including stress, conflict, management, caregiving issues.
- Conservatorship needs.
- Providing counseling for clients and significant others to alleviate identified problems and to implement the health service plan, including negotiating, mediating, and participating in problem solving;
- Stabilizing and linking with community services for treatment of health related needs;
- Arranging for food, housing, medical, and counseling services, as needed;
- Monitoring and follow-up; and
- Reassessments, as appropriate.

CODE 1170 ADOPTIONS - CASE MANAGEMENT

Include activities directed to a child in adoptive placement or activities immediately preceding an adoptive placement, such as a child adoptability assessment, adoptive applicant screening, and home study. Also, use for activities generally supportive of the county's adoption program. (SEE CWS CASE MANAGEMENT EXAMPLES.)

CODE 1180 INDEPENDENT ADOPTIONS

Includes independent adoption activities.

CODE 1250 ADOPTIONS - TRAINING

Training activities include the following for all elements of the Adoptions Program:

- Preparing for or providing training to CWD staff.
- Participating in continuing training received after induction training.
- Participating in short-term training provided by outside agencies.
- Participating in training conferences.
- Providing training to current or prospective adoptive parents or to adoption agency staff.

CODE 1350 SSI/SSP - OUT-OF-HOME CARE

Includes determining and certifying the need for out-of-home care for an SSI/SSP applicant or recipient who resides in an unlicensed home. This activity must be initiated by the Form SSP 22.

CODE 1400 RRP - CWS

Includes time spent arranging and providing the following services to eligible refugees in support of a CWS plan:

- Information and referral services.
- Outreach services, including activities designed to familiarize refugees with available services, explain the purpose of these services, and to facilitate access to these services.

Social adjustment services including:

1. Emergency services as follows: assessment and short term counseling to persons or families in a perceived crisis, referral to appropriate resources, and making arrangements for necessary services.
2. Health-related services as follows: information, referral to appropriate resources, assistance in scheduling appointments and obtaining services, and counseling to individuals or families to help them understand and identify their physical and mental health needs and maintain or improve their physical and mental health.
3. Home management services as follows: formal or informal instruction to individuals or families in management of household budgets, home maintenance, nutrition, housing standards, tenants' rights, and other consumer education services.
  - Day care for children.
  - Transportation.
  - Translation and interpretation services.
  - Case management services.

CODE 1410 RRP - CSBG

Includes the same activities specified for Code 1400 except activities identified to Code 1410 must be provided to eligible refugees in support of a service plan directed at goals other than Employability or CWS.

CODE 1420 RRP - UNACCOMPANIED MINORS

Includes the provision of CWS to unaccompanied Refugee and Cuban Haitian entrant minors.

CHILD WELFARE SERVICES (CWS)

REFERENCE

CASE MANAGEMENT

means a service-funded activity performed by a social worker which includes assessing the child's/family needs, developing the case plan, monitoring progress in achieving case plan objectives, and ensuring that all services specified in the case plan are provided.

MPP 31-002(c)(1)

CASE PLAN

means a written document which is developed based upon an assessment of the circumstances which required child welfare services intervention and in which the social worker identifies a case plan goal, the objectives to be achieved, the specific services to be provided, and case management activities to be performed. MPP 31-002(c)(2)

PUBLIC LAW # 96-272 requires developing a case or services plan for a child including initial plan, and comprehensive reunification plan. Additional reference: Public Law #101-239.

COUNSELING

means assisting the child and his/her family to analyze and better understand the situation; select methods of problem-solving; identifying goals; and exploring alternative behavior

MPP 31-002(16).

VOLUNTARY FC PROGRAM

Senate Bill 1125, Chapter 1203, Statutes of 1991, provided for federal financial participation for children voluntarily placed in foster care; current federal reporting requirements require separate identification of these expenditures. (County Fiscal Letter Number 92/93-40, dated March 2, 1993.)

CODE 1380 CWS-SPMP

Includes selected activities to help children who are Medi-Cal eligible, including children in foster care and Seriously Emotionally Disabled children, to gain access to health related services in order to reduce their risk of poor health outcome. These activities include, but are not limited to, the development, implementation and management of health related service plans; referrals to other agencies and programs for the assessment, evaluation or treatment of health related needs; interagency coordination and liaison with providers to health-related services to improve the service delivery system, and in-depth informing and anticipatory guidance about the

causes, prevention and remediation of health related needs; completing, updating, and disseminating any paperwork necessary to the completion of these activities; and receiving or providing health related training.

NOTE: If these activities are performed by a person not qualifying as SPMP, record the time to Program 144. SPMP performing non-enhanced health related activities also record this time to Program 144.

#### CWS - PREPARATION FOR ELIGIBILITY DETERMINATION

Includes activities related to preparing for the determination of a child's eligibility for the Foster Care, or Adoption Assistance Program, not the actual eligibility determination, e.g.:

- Gathering and verifying information used by the Eligibility Worker in regard to income, parental deprivation, resources, social security numbers, birth certificates, and child support
- Filling out and processing necessary forms.
- Providing information to determine eligibility for other financial benefits such as SSI, VA, or Black Lung.
- Querying systems, records, and other staff for current AFDC status.
- Making court recommendations for support, requesting such court action and completing court orders.
- Preparing and participation in program audits.
- Travel time associated with any of the above activities.

Identify activities to the component.

CODE 1431 EMERGENCY RESPONSE SERVICES  
CODE 1432 FAMILY MAINTENANCE SERVICES  
CODE 1433 FAMILY REUNIFICATION SERVICES  
CODE 1434 PERMANENT PLACEMENT SERVICES

#### CWS - HR FOR MEDI-CAL ELIGIBLE CHILDREN

Any activity to help children who are Medi-Cal eligible, including all foster and SED children, to gain access to medical services and/or to attain or maintain a favorable physical or mental health condition by assisting them in identifying and understanding their health needs or securing and utilizing treatment and health maintenance services. Such activities include, but are not limited to, performing, assisting the eligibility worker in, or assisting the parent of the child in applying for determination or documentation of Medi-Cal eligibility for children; development, implementation and management of health plans; referrals to other agencies and programs for health needs; statistical reporting; outreach activities to Medi-Cal eligible or potential eligibles about available services and programs; and liaison activities with medical providers.

Identify activities to the component.

CODE 1441 EMERGENCY RESPONSE PROGRAM  
CODE 1442 FAMILY MAINTENANCE PROGRAM  
CODE 1443 FAMILY REUNIFICATION PROGRAM  
CODE 1444 PERMANENT PLACEMENT PROGRAM

#### CWS - TRAINING

Training activities include the following for all elements of the CWS program:

- Preparing for or providing training to staff.
- Participating in continuing training received after at least five consecutive days of induction training.
- Participating in training conferences or short-term training provided by outside agencies of less than four weeks.
- Providing training to current or prospective foster parents and to staff of foster family agencies.
- Travel time associated with any of the above activities.

Identify activities to Code 1450.

#### CWS - SERVICES/NON-FEDERAL

The individual child's case plan shall be the basic guideline for the provision of child welfare services. Services include, but are not limited to the following:

- Providing counseling, or other therapeutic services to a child or to the child's family in order to ameliorate or remedy personal problems, behaviors, or home conditions, as referenced;
- Providing homemaking instruction, through discussion and example when parent/guardian functioning can be improved by teaching more effective child care skills and home maintenance. MPP 31-002(t)(1).
- Parenting training.

Identify activities to Code 1460.

#### CWS - COURT-RELATED ACTIVITIES

Any court-related activity directed to the placement of a child:

- Preparing for and/or participating in any judicial determination regarding a child.
- Preparing or filing court documents including petitions, motion for extension, termination of dependencies or a custodial order.
- Any court appearance where the local agency is seeking custody of a child, or the status of a child in the county's custody is being reviewed.
- Paperwork and contacts related to judicial activity.

- Travel time associated with the above activities.

Identify activities to the component.

CODE 1471 EMERGENCY RESPONSE SERVICES  
 CODE 1472 FAMILY MAINTENANCE SERVICES  
 CODE 1473 FAMILY REUNIFICATION SERVICES  
 CODE 1474 PERMANENT PLACEMENT SERVICES

#### CWS - CASE MANAGEMENT

Includes activities directed to a specific child when the child remains in the home or in out-of-home placement, including relative placements and emergency shelter care. Included is the development of the case plan which indicates the specific services necessary to meet the protective needs of the child. Activities include, but are not limited to the following:

- Assessing child's/family's needs and developing a case plan as indicated in regulations.
- Arranging for the provision of services and referrals for other services, when necessary.
- Arranging for pre-placement visits.
- Working with foster parents to prepare them to receive a child.
- Monitoring progress in meeting case plan objectives and updating the case plan.
- Management and supervision of the case, participation in case conferences, permanency planning meetings, and administrative reviews.
- Recruitment activities, developing and distributing resource material, consulting and coordinating with service providers and community based organizations.
- Activities that are directed towards enhancing, expanding or supporting the county's program of preventive services or out-of-home care.
- Do not include court document preparation or petition filing - these are code 147, CWS-Court Related activities.
- **Visits for non group home foster care placements (i.e., relatives and foster family homes). See TSC 5771 for visits related to children in group home placements.**
- Travel time associated with any of the above activities.

Identify activities to the component.

CODE 1481 EMERGENCY RESPONSE SERVICES  
 CODE 1482 FAMILY MAINTENANCE SERVICES  
 CODE 1483 FAMILY REUNIFICATION SERVICES  
 CODE 1484 PERMANENT PLACEMENT SERVICES

#### CODE 1540 CWS-CASE MANAGEMENT: VOLUNTARY FOSTER CARE PROGRAM

Includes activities directed to a specific child when the child is voluntarily placed in foster care.

- Refer to activities identified in CWS-Case Management.

CODE 2230 EMERGENCY ASSISTANCE (EA) CHILD WELFARE SERVICES (CWS) - ELIGIBILITY

Includes eligibility determinations, screening for prior EA episodes, approvals, denials, authorization actions, and issuance of notices.

FAMILY PRESERVATION PROGRAM

CODE 1590 FAMILY PRESERVATION PROGRAM-SPMP

Refer to Code 1380, CWS-SPMP, for description of activities.

Note: SPMP performing non-enhanced activities use Code 1680.

CODE 1680 FAMILY PRESERVATION PROGRAM - HR

Refer to Program 144, CWS-HR for Medi-Cal Eligible Children, for description of activities.

CODE 1740 FAMILY PRESERVATION PROGRAM - TRAINING

Refer to Program 145, CWS-Training, for description of activities.

CODE 1750 FAMILY PRESERVATION PROGRAM - SERVICES/NONFEDERAL

Refer to Program 146, CWS-Services, for description of activities.

CODE 1770 FAMILY PRESERVATION PROGRAM - CASE MANAGEMENT: PREVENTIVE SERVICES

Refer to Program 148, CWS-Case Management, for description of activities.

CODE 1790 FAMILY PRESERVATION PROGRAM - CASE MANAGEMENT: FOSTER CARE

Refer to Program 148, CWS-Case Management, for description of activities.

CODE 1500 EARLY, PERIODIC, SCREENING, DIAGNOSIS, AND TREATMENT (EPSDT)



Includes support activities for EPSDT, such as consultation, outreach, and follow-up, when performed by an EPSDT unit under contract to the local Child Health and Disability Prevention Agency. Does not include information and referral activities performed by eligibility workers.

CODE 1550 FOSTER FAMILY LICENSING

Includes recruitment, study, certification, licensing, and approval of foster family homes for children; recertification, renewal, suspension, revocation, and complaint investigation actions affecting licensing; public information on out-of-home care programs and supporting participation of the public in such care; licensing information/data system activities; and travel related to any of these activities.

CODE 1570 LICENSING - DAY CARE

Includes the provision of licensing requirements to facilitate the development of new family day care homes; evaluation and verification of the application, including the required onsite evaluation; renewal applications and site visit, if required; follow-up on complaints and deficiencies; and maintenance of a list of licensed family day care homes.

CODE 1580 FOSTER FAMILY LICENSING - TRAINING

Includes the following training activities for the Foster Family Licensing Program:

- Preparing and providing training to prospective foster parents on foster family home licensing requirements.
- Participating in continuing training received after induction training.
- Participating in short term training provided by outside agencies.
- Participating in training conferences.

CODE 1600 CHILD CARE AND DEVELOPMENT PROGRAM

Includes eligibility determination, service arrangement, and associated case management for child care provided under the standard agreement between the county and California Department of Education.

CODE 1670 CHILD ABUSE PREVENTION, INTERVENTION AND TREATMENT (CAPIT)

Includes the provision of services for child abuse and intervention.

CODE 1820 INDEPENDENT LIVING PROGRAM (ILP) - CASE MANAGEMENT

Includes ILP case management activities for children: assessing the need for ILP services, developing the ILP service plan, and referring the child to services.

CODE 1840 ILP - SERVICES

Includes the provision of ILP services to children: independence counseling; providing training on occupational and college preparatory high school classes, financial aid and scholarships, the acquisition of social security cards, medical history information, birth certificates or other proof of birth, housing and home management; and other necessary services.

CODE 5040 AB 2129 Foster Parent Training

Includes time spent preparing for and providing short-term training to current and prospective foster parents.

CODE 5060 AB 2129 Foster Parent Recruitment

Includes time spent performing foster parent recruitment activities for the AB 2129 Foster Parent Training and Recruitment Program, and travel associated with the recruitment activities.

CODE 5131 EA-ER APPLICATION COMPLETION

Includes time spent completing the EA-ER application. Time spent obtaining the parent's signature on the EA application may be included.

CODE 5132 EA-ER TRAINING

Includes time spent preparing for and providing EA-ER training for staff.

CODE 5134 EA-ER REFERRALS

Includes time spent receiving emergency referrals, assessing whether the referral is a child welfare services referral, completing the ER protocol, and investigating the emergency allegations, including the collateral contacts. Also includes time spent closing those cases in which the allegations are unfounded. For those cases in which the allegations are not unfounded, includes time spent in investigation activities, including reporting to the Department of Justice and noticing the parents regarding the temporary custody of the child.

FAMILY PRESERVATION AND SUPPORT PROGRAM (FPSP)

CODE 5150 FAMILY PRESERVATION SERVICES

Activities include, but are not limited to, services designed to help families alleviate crises that might lead to out-of-home placement of children; services that maintain the safety of children in their home; services that support families preparing to reunite or to adopt a child; information and referral services.

CODE 5160 FAMILY SUPPORT SERVICES

Family Support activities include, but are not limited to, home visitation, parent education, information and referral services, family counseling services, respite care for parents and other caregivers, early development of children to assess the needs of children, literacy services, and health education for children and parents.

CODE 5230 OPTIONS FOR RECOVERY RECRUITMENT

Includes time spent performing Foster Parent recruitment activities for the Options for Recovery Program.

CODE 5330 FFA-SAN MATEO COUNTY

Includes time spent by caseworkers and support staff on county-operated FFA activities. It is restricted to San Mateo County.

CODE 5561 CWS-MPS (AB 908)

A home visiting model of supportive services provided to minor parents and their child(ren) to assist them in creating a healthy and safe environment. MPS activities include: Provision of in-home based services, in-home visits, on-going assessments of the minor parent and his/her child(ren), and referrals to appropriate community services.

PRIOR CODES:

5420 CWS-MPS (AB 908)

8020 CWS-MPS (AB 908)

CODE 5440 CWS-MINOR PARENT INVESTIGATIONS (MPI) (AB 908)

This program code has been established to capture social worker time spent performing in-person investigation activities for teen pregnancy disincentive requirements. Investigations activities include:

1. Completing an in-home investigation of a minor parent's allegation of risk of abuse/neglect, and returning the CA 25s to the eligibility worker indicating the

- results of the investigation;
- 2. Completing an in-person assessment of the minor parent and his/her child(ren);
- 3. Developing a safety plan that will include MPS for the minor parent and his/her child(ren); and
- 4. Referral of minor parent to other available services.

**CODE 5651 SB 163 WRAPAROUND SERVICES PILOT**

**Wraparound services are family centered, strengths-based, needs-driven, and individualized service planning including, but not limited to:**

- Providing intensive case management.
- Performing life domain needs assessment; facilitating child/family teams; developing an individualized family and child service resource plan; implementing and monitoring appropriate services/resources.
- Assisting the family and child in all life domain areas.

**CODE 5661 ADOPTIONS ASSISTANCE PROGRAM (AAP) WRAPAROUND SERVICES**

**Services include, but are not limited to the following:**

- Providing counseling, or other therapeutic wraparound services to an adopted child or to the child's adoptive family in order to ameliorate or remedy personal problems, behaviors, or home conditions, as referenced;
- Providing homemaking instruction, through discussion and example when adoptive parent functioning can be improved by teaching more effective child care skills and home maintenance;
- Parenting training.

**CODE 5771 MONTHLY VISITS FOR GROUP HOME PLACEMENTS**

**Includes those activities performed by CWD social workers when providing monthly visits to all children placed in group homes (in and out of state).**

**CODE 5781 Title IV-E WAIVER PROJECT EXTENDED VOLUNTARY ADMINISTRATION**

**Activities related to preparing for the determination of a child's eligibility for the waiver project, activities directed to a participating child when the child is in a voluntary placement. Included is the development of the case plan, which indicates the specific services necessary to meet the protective needs of the child. Activities include but are not limited to the following:**

- Assessing child's/family's needs and developing a case plan as indicated in

regulations.

- Arranging for the provision of services and referrals for other services, when necessary.
- Arranging for pre-placement visits.
- Working with placement providers or child's family to prepare them for receiving the child.
- Arranging for a lower level placement or to return the child home.
- Management and supervision of the case, participation in case conferences, permanency planning meetings, and administrative reviews.
- Recruitment activities, developing and distributing resource material, consulting and coordinating with service providers and community based organizations.
- Activities that are directed towards enhancing, expanding or supporting the county's program of preventive services or out-of-home care.
- Travel time associated with any of the above activities.

**CODE 5782 TITLE IV-E WAIVER PROJECT EXTENDED VOLUNTARY EVALUATION**

**Includes time spent by county casework staff providing information or reports to the evaluation team as well as gathering the necessary data.**

**CODE 7001 GENERIC**

Includes time spent by caseworkers performing general administrative activities that essentially provide a department-wide benefit such as developing a manual on casework procedures. Also include time spent in training or in conference or staff meetings when the subject has department-wide benefit or cannot be identified to a specific program. This code is not to be used when performing case management activities, which continue to be recorded to the associated program.

	A	B	C	D	E	F	G	H
1								ATTACH # 2
2			WELCOME TO					ATTACH # 2
3								
4			WELCOME TO PROPOSED COUNTY ADMINISTRATIVE BUDGET -PCAB-  FISCAL YEAR 1999/00					
5								
6								
7								
8								
9								
10	PLEASE PROVIDE THE FOLLOWING INFORMATION:							
11								
12			COUNTY: <u>SAMPLE DATA</u>					
13								
14			First Contact: <u>Mary Smith</u>			Second Contact: <u>Bob Jones</u>		
15								
16			Title: <u>Accountant</u>			Title: <u>Account Clerk</u>		
17								
18			Telephone #: <u>444-555-6666</u>			Telephone #: <u>444-666-7777</u>		
19								
20			Fax #: <u>444-888-9999</u>			Fax #: <u>444-888-9999</u>		
21								
22	The information you will be providing will be used to develop the FY 1999/00 allocations							
23	for California Work Opportunity and Responsibility to Kids (CalWORKs), Non-Assistance Food							
24	Stamps (NAFS), Foster Care (FC), Medi-Cal, and Child Welfare Services (CWS) programs.							

Actual salary  
linked to  
worksheet

1	FY 99/00 PCAB INPUT	03/09/99	ATTACH #2C
2	County: SAMPLE DATA	11:25 AM	INPUT PG 3

1	FY 99/00 PCAB INPUT	03/09/99	ATTACH #2C
2	County: SAMPLE DATA	11:25 AM	INPUT PG 3

#### CASE WORKERS PROPOSED FTEs

DO NOT ENTER DATA IN SHADED CELLS.

	FY 99/00 PROPOSED FTEs		
	CWS Activity	Other Activity	Total
<b>SOCIAL SERVICES FUNCTION FTEs INPUT AREA</b>			
Social Services Function			
Social Service Worker FTEs	162.0	70.0	232.0
Eligibility Worker FTEs	0.0	0.0	0.0
Fraud (Investigators) FTEs	0.0	0.0	0.0
Employment Serv Worker FTEs	0.0	0.0	0.0
	162.0	70.0	232.0

<b>FY 99/00 JUSTIFIED FTE FOR CWS</b>
136.0
136.0
0.0
0.0
0.0
136.0

DO NOT ENTER DATA IN SHADED CELLS.

	FY 99/00 PROPOSED FTEs			
	Eligibility Activity	Welfare to Work Activity	Other Activity (Excluding Fraud)	Total
<b>CalWORKs FUNCTION FTEs INPUT AREA</b>				
CalWORKs Function				
Social Service Worker FTEs	0.0	34.0	0.0	34.0
Eligibility Worker FTEs	98.0	0.0	0.0	98.0
Fraud (Investigators) FTEs	0.0	0.0	0.0	0.0
Employment Serv Worker FTEs	0.0	83.0	0.0	83.0
	98.0	117.0	0.0	215.0

	FY 99/00 PROPOSED FTEs							
	NAFS Eligibility Activity	NAFS QC Activity	NAFS IEVS Activity	Foster Care Activity	Medi-Cal Intake	Medi-Cal Continuing	Other Activity	Total
<b>OTHER PA FUNCTION FTEs INPUT AREA</b>								
Other PA Function								
Social Service Worker FTEs	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Eligibility Worker FTEs	60.0	3.0	2.0	15.0	46.0	67.0	31.0	224.0
Fraud (Investigators) FTEs *	0.0	0.0	0.0	0.0	0.0	0.0	2.0	2.0
Employment Serv Worker FTEs	0.0	0.0	0.0	0.0	0.0	0.0	11.0	11.0
	60.0	3.0	2.0	15.0	46.0	67.0	44.0	237.0

Note: Medi-Cal may pay only eligibility salary.  
\* Fraud in Other Activity such as GA.

	98/99 FTEs
<b>CHILD CARE FUNCTION INPUT AREA</b>	Total FTEs
Child Care	22.0

	98/99 FTEs
<b>NON-WELFARE FUNCTION INPUT AREA</b>	Total FTEs
Non-Welfare	4.0

Note: ie: probation



<b>NAFS</b>	
Issuance	\$550,000
FSOLIS	\$10,000

BD      BE

FY 99/00 PCAB INPUT	03/09/99	ATTACH #2C
County: SAMPLE DATA	11:25 AM	INPUT PG 5

DO NOT ENTER DATA IN SHADED CELLS.

FTEs Generic	1.0	38.0	6.0	45.0
FTEs Direct to Function - General				
Social Services Function	71.0	18.0	3.0	92.0
CalWORKs Function	50.0	10.0	4.0	64.0
Other PA Function	76.0	15.0	4.0	95.0
Child Care Function	6.0	1.0	1.0	8.0
Non-Welfare Function	0.0	0.0	0.0	0.0
Sub Total	203.0	44.0	12.0	259.0
FTEs Direct to Program				
CWS Program (NOT CWS/CMS staff)*	6.0	0.0	0.0	6.0
CalWORKs-Eligibility Program	2.0	0.0	0.0	2.0
CalWORKs-Fraud	1.0	0.0	1.0	2.0
CalWORKs-Welfare to Work Pgm	0.0	1.0	0.0	1.0
NAFS Elig. Program	0.0	0.0	2.0	2.0
NAFS Fraud Program	0.0	2.0	0.0	2.0
Foster Care Program	1.0	0.0	0.0	1.0
Medi-Cal Program	0.0	1.0	0.0	1.0
Other Program	0.0	0.0	2.0	2.0
Sub Total	10.0	4.0	5.0	19.0
TOTAL	214.0	86.0	23.0	323.0

\* CWS/CMS is a premise item for FY99/00.

03/09/99 11:25 AM	ATTACH #2C INPUT PG 6
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<b>SOCIAL SERVICES FUNCTION</b>	135.00
<b>CalWORKS FUNCTION</b>	128.00
<b>OTHER PA FUNCTION</b>	129.00
<b>CHILD CARE FUNCTION</b>	135.00
<b>NON-WELFARE FUNCTION</b>	130.00

FY 99/00 PCAB INPUT		03/09/99	ATTACH #2C
Co: SAMPLE DATA		11:25 AM	INPUT PG 7
FY 99/00 PCAB INPUT		03/09/99	ATTACH #2C
Co: SAMPLE DATA		11:25 AM	INPUT PG 7

DO NOT ENTER DATA IN SHADED CELLS.

PROPOSED SUPPORT COSTS INPUT AREA	Travel	Space	Space CCAP	Other Operating Costs	Public Agencies CCAP	Public / Private Direct	TOTAL
Total Welfare Costs	\$100,000	\$3,800,000	\$100,000	\$100,000	\$2,100,000	\$9,500,000	\$15,700,000

Welfare Costs Direct to Function:							
Social Services Function	\$200,000	\$0	\$0	\$0	\$0	\$0	\$200,000
CalWORKs Function	\$300,000	\$0	\$0	\$0	\$0	\$0	\$300,000
Other PA Function	\$0	\$0	\$0	\$0	\$0	\$200,000	\$200,000
Child Care Function	\$0	\$0	\$0	\$0	\$100,000	\$0	\$100,000
Non-Welfare Function	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Sub-Total	\$500,000	\$0	\$0	\$0	\$100,000	\$200,000	\$800,000

Welfare Costs Direct to Program:							
CWS Program	\$0	\$0	\$0	\$1,000,000	\$0	\$0	\$1,000,000
CalWORKs-Eligibility Program	\$0	\$0	\$0	\$1,000,000	\$0	\$0	\$1,000,000
CalWORKs-Welfare to Work Pgm	\$0	\$0	\$0	\$1,000,000	\$0	\$0	\$1,000,000
NAFS Eligibility Program	\$0	\$0	\$0	\$0	\$0	\$0	\$0
NAFS Fraud Program	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Foster Care Program	\$100,000	\$0	\$0	\$0	\$0	\$0	\$100,000
Medi-Cal Program	\$0	\$200,000	\$0	\$0	\$0	\$0	\$200,000
Other Program	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Sub-Total	\$100,000	\$200,000	\$0	\$3,000,000	\$0	\$0	\$3,300,000
Total Direct to Function & Program	\$600,000	\$200,000	\$0	\$3,000,000	\$100,000	\$200,000	\$4,100,000

TOTAL WELFARE COSTS	\$700,000	\$4,000,000	\$100,000	\$3,100,000	\$2,200,000	\$9,700,000	\$19,800,000
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A	BO	BR	BS	BT	BU	BV
1	FY 99/00 PCAB INPUT			03/09/99	ATTACH #2C	
2	County: SAMPLE DATA			11:25 AM	INPUT PG 8	

1	FY 99/00 PCAB INPUT			03/09/99	ATTACH #2C	
2	County: SAMPLE DATA			11:25 AM	INPUT PG 8	

DO NOT ENTER DATA IN SHADED CELLS.

EDP COSTS INPUT AREA	FY 99/00 Proposed EDP Expenditures
Personal Services	\$1,200,000
Operating Costs / Pur of Svcs	\$5,400,000
Public Agencies - CCAP	\$100,000
Grand Total	\$6,700,000

Must match  
Grand Total  
Below

<b>CWD PerSvc-Op/Pur of Svc,CCAP</b>	
<b>M &amp; O Costs Direct to Function</b>	
Social Services Function	\$500,000
CalWORKs Function	\$1,800,000
Other PA Function	\$2,500,000
Child Care Function	\$100,000
Non-Welfare Function	\$0
Sub-Total	\$4,900,000
<b>M &amp; O Costs Direct to Program</b>	
CWS Program	\$20,000
CWS/CMS Program	\$50,000
CalWORKs-Eligibility Program	\$10,000
CalWORKs-Welfare to Work Program	\$0
NAFS Eligibility Program	\$10,000
NAFS Fraud Program	\$0
Foster Care Program	\$0
Medi-Cal Program	\$0
Other Program	\$20,000
Sub Total	\$110,000
Total	\$5,010,000

<b>Multi / Sgl Func</b>	
<b>Development Costs Direct to Function</b>	
Social Services Function	\$40,000
CalWORKs Function	\$1,200,000
Other PA Function	\$350,000
Child Care Function	\$10,000
Non-Welfare Function	\$0
Sub-Total	\$1,600,000
<b>Development Costs Direct to Program</b>	
CWS Program	\$30,000
CalWORKs-Eligibility Program	\$10,000
CalWORKs-Welfare to Work Program	\$0
NAFS Eligibility Program	\$10,000
NAFS Fraud Program	\$0
Foster Care Program	\$0
Medi-Cal Program	\$20,000
Other Program	\$20,000
Sub Total	\$90,000
Total	\$1,690,000

Grand Total	\$6,700,000
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Must match  
Grand Total  
Above

A	BW BX	BY	BZ	CA	CB
1	FY 99/00 PCAB INPUT			ATTACH #2C	
2	County: SAMPLE DATA			INPUT PG 9	
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1	FY 99/00 PCAB INPUT			ATTACH #2C	
2	County: SAMPLE DATA			INPUT PG 9	
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4					
5	PROGRAMS BENEFITING FROM EDP				
6	Which of the following programs will benefit from EDP in FY 99/00?				
7	Input 1 for Yes or 0 for No.			1 = Yes	
8				0 = No	
9					
10	SOCIAL SERVICES FUNCTION				
11	CWS			1	
12	Other			1	
13					
14					
15					
16	CalWORKs FUNCTION				
17	Eligibility ( Fraud, IEVS, QC & CS Dis)			1	
18	Welfare to Work			1	
19	Other			0	
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24	OTHER PA FUNCTION				
25	NAFS - Eligibility (Including QC)			1	
26	NAFS - IEVS			0	
27	NAFS - EF EW (50/50/0) FTEs			0	
28	NAFS - EF EW (50/35/15) FTEs			0	
29	NAFS - WFI NAFS (50/35/15) FTEs			1	
30	NAFS - WFI PAFS (50/42.5/7.5) FTEs			1	
31	NAFS - WFI EF NAFS/PAFS (50/50/0) FTEs			1	
32	FC			1	
33	Medi-Cal (Intake & Continuing)			1	
34	Other PA			1	
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39	CHILD CARE FUNCTION			1	
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41	NON-WELFARE FUNCTION			0	
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**FY 99/00 PCAB SALARY CALCULATIONS**

Co: **SAMPLE DATA**

	Ave. Mo.	FTEs	Ave Mo.	Total Annual Salary
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**CalWORKS FUNCTION - OTHER Activity (Excl Fraud)**

Social Service Worker FTEs	n/a	0.0	n/a	n/a
Eligibility Worker FTEs	n/a	0.0	n/a	n/a
Fraud (Investigators) FTEs	n/a	0.0	n/a	n/a
Employment Serv Worker FTEs	n/a	0.0	n/a	n/a
<b>Total</b>		<b>0.0</b>	<b>n/a</b>	<b>n/a</b>

**ATT #2D**

**CALC SAL 2**

**OTHER PA FUNCTION - NAFS ELIG Activity**

Social Service Worker	\$5,600	0.0	\$0	\$0
Eligibility Worker	\$4,500	60.0	\$270,000	\$3,240,000
Fraud (Investigators)	\$5,300	0.0	\$0	\$0
Employment Services	\$4,500	0.0	\$0	\$0
<b>Sub Total</b>		<b>60.0</b>	<b>\$270,000</b>	<b>\$3,240,000</b>

**OTHER PA FUNCTION - NAFS ELIG - QC**

Social Service Worker	\$5,600	0.0	\$0	\$0
Eligibility Worker	\$4,500	3.0	\$13,500	\$162,000
Fraud (Investigators)	\$5,300	0.0	\$0	\$0
Employment Services	\$4,500	0.0	\$0	\$0
<b>Sub Total</b>		<b>3.0</b>	<b>\$13,500</b>	<b>\$162,000</b>

**OTHER PA FUNCTION - NAFS ELIG - IEVS**

Social Service Worker	\$5,600	0.0	\$0	\$0
Eligibility Worker	\$4,500	2.0	\$9,000	\$108,000
Fraud (Investigators)	\$5,300	0.0	\$0	\$0
Employment Serv Worker	\$4,500	0.0	\$0	\$0
<b>Sub Total</b>		<b>2.0</b>	<b>\$9,000</b>	<b>\$108,000</b>
<b>Total</b>		<b>65.0</b>	<b>\$292,500</b>	<b>\$3,510,000</b>

**OTHER PA FUNCTION - NAFS - EARLY FRAUD (ELIG)**

EF EW (50/50/0)	\$4,500	1.0	\$4,500	\$54,000
EF EW (50/35/15)	\$4,500	3.0	\$13,500	\$162,000
<b>Total</b>		<b>4.0</b>	<b>\$18,000</b>	<b>\$216,000</b>

**OTHER PA FUNCTION - NAFS - FRAUD**

WFI NAFS (50/35/15)	\$5,300	2.0	\$10,600	\$127,200
WFI PAFS (50/42.5/7.5)	\$5,300	3.0	\$15,900	\$190,800
WFI EF NAFS/PAFS (50/50/0)	\$5,300	5.0	\$26,500	\$318,000
<b>Total</b>		<b>10.0</b>	<b>\$53,000</b>	<b>\$636,000</b>

1 **FY 99/00 PCAB SALARY CALCULATIONS**

2 Co: **SAMPLE DATA**

	Ave. Mo.	FTEs	Ave Mo.	Total Annual Salary	
<b>OTHER PA FUNCTION - FOSTER CARE Activity</b>					<b>ATT #2D</b>
Social Service Worker FTEs	\$5,600	0.0	\$0	\$0	<b>CALC SAL 3</b>
Eligibility Worker FTEs	\$4,500	15.0	\$67,500	\$810,000	
Fraud (Investigators) FTEs	\$5,300	0.0	\$0	\$0	
Employment Serv Worker FTEs	\$4,500	0.0	\$0	\$0	
Total		15.0	\$67,500	\$810,000	

<b>OTHER PA FUNCTION - MEDI-CAL Activity (Intake &amp; Continuing)</b>					
Social Service Worker FTEs	\$5,600	0.0	\$0	\$0	All FTEs must be in Elig salary pool.
Eligibility Worker FTEs	\$4,500	113.0	\$508,500	\$6,102,000	
Fraud (Investigators) FTEs	\$5,300	0.0	\$0	\$0	
Employment Serv Worker FTEs	\$4,500	0.0	\$0	\$0	
Total		113.0	\$508,500	\$6,102,000	

Note: Medi-Cal will only budget using eligibility staff salaries.

<b>OTHER PA FUNCTION - OTHER Activity</b>				
Social Service Worker FTEs	n/a	0.0	n/a	n/a
Eligibility Worker FTEs	n/a	31.0	n/a	n/a
Fraud (Investigators) FTEs	n/a	2.0	n/a	n/a
Employment Serv Worker FTEs	n/a	11.0	n/a	n/a
Total		44.0	n/a	n/a

<b>OTHER FUNCTIONS - TOTAL FTEs</b>				
CHILD CARE Total FTEs	n/a	22.0	n/a	n/a
NON-WELFARE Total FTEs	n/a	4.0	n/a	n/a
Total		26.0	\$0	\$0

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**FY 99/00 PCAB SALARY CALCULATIONS**  
Co: **SAMPLE DATA**

	Ave. Mo.	FTEs	Ave Mo.	Total Annual Salary	
<b>SUPPORT - CLERICAL</b>					<b>ATT #2D</b>
GENERIC	\$3,500	1.0	\$3,500	\$42,000	<b>CALC SAL 4</b>
FUNCTION:					
Social Services	\$3,500	71.0	\$248,500	\$2,982,000	
CalWORKs	\$3,500	50.0	\$175,000	\$2,100,000	
Other PA	\$3,500	76.0	\$266,000	\$3,192,000	
Child Care	\$3,500	6.0	\$21,000	\$252,000	
Non-Welfare	\$3,500	0.0	\$0	\$0	
Sub Total		203.0	\$710,500	\$8,526,000	
DIRECT TO PROGRAM					
CWS	\$3,500	6.0	\$21,000	\$252,000	
CalWORKs - Eligibility	\$3,500	2.0	\$7,000	\$84,000	
CalWORKs - Fraud	\$3,500	1.0	\$3,500	\$42,000	
CalWORKs - Welfare to Work	\$3,500	0.0	\$0	\$0	
NAFS - Eligibility	\$3,500	0.0	\$0	\$0	
NAFS Fraud	\$3,500	0.0	\$0	\$0	
FC	\$3,500	1.0	\$3,500	\$42,000	
Medi-Cal	\$3,500	0.0	\$0	\$0	
Other	\$3,500	0.0	\$0	\$0	
Sub Total		10.0	\$35,000	\$420,000	
Total		214.0	\$749,000	\$8,988,000	

<b>SUPPORT - ADMINISTRATIVE</b>				
GENERIC	\$6,000	38.0	\$228,000	\$2,736,000
FUNCTION:				
Social Services	\$6,000	18.0	\$108,000	\$1,296,000
CalWORKs	\$6,000	10.0	\$60,000	\$720,000
Other PA	\$6,000	15.0	\$90,000	\$1,080,000
Child Care	\$6,000	1.0	\$6,000	\$72,000
Non-Welfare	\$6,000	0.0	\$0	\$0
Sub Total		44.0	\$264,000	\$3,168,000
DIRECT TO PROGRAM				
CWS	\$6,000	0.0	\$0	\$0
CalWORKs - Eligibility	\$6,000	0.0	\$0	\$0
CalWORKs - Fraud	\$6,000	0.0	\$0	\$0
CalWORKs - Welfare to Work	\$6,000	1.0	\$6,000	\$72,000
NAFS - Eligibility	\$6,000	0.0	\$0	\$0
NAFS Fraud	\$6,000	2.0	\$12,000	\$144,000
FC	\$6,000	0.0	\$0	\$0
Medi-Cal	\$6,000	1.0	\$6,000	\$72,000
Other	\$6,000	0.0	\$0	\$0
Sub Total		4.0	\$24,000	\$288,000
Total		86.0	\$516,000	\$6,192,000



FY 99/00 PCAB SALARY CALCULATIONS					
Co: SAMPLE DATA					
	Ave. Mo.	FTEs	Ave Mo.	Total Annual Salary	
<b>SUPPORT - EDP</b>					<b>ATT #2D</b>
GENERIC	\$5,800	6.0	\$34,800	\$417,600	<b>CALC SAL 5</b>
<b>FUNCTION:</b>					
Social Services	\$5,800	3.0	\$17,400	\$208,800	
CalWORKs	\$5,800	4.0	\$23,200	\$278,400	
Other PA	\$5,800	4.0	\$23,200	\$278,400	
Child Care	\$5,800	1.0	\$5,800	\$69,600	
Non-Welfare	\$5,800	0.0	\$0	\$0	
Sub Total		12.0	\$69,600	\$835,200	
<b>DIRECT TO PROGRAM</b>					
CWS	\$5,800	0.0	\$0	\$0	
CalWORKs - Eligibility	\$5,800	0.0	\$0	\$0	
CalWORKs - Fraud	\$5,800	1.0	\$5,800	\$69,600	
CalWORKs - Welfare to Work	\$5,800	0.0	\$0	\$0	
NAFS - Eligibility	\$5,800	2.0	\$11,600	\$139,200	
NAFS Fraud	\$5,800	0.0	\$0	\$0	
FC	\$5,800	0.0	\$0	\$0	
Medi-Cal	\$5,800	0.0	\$0	\$0	
Other	\$5,800	2.0	\$11,600	\$139,200	
Sub Total		5.0	\$29,000	\$348,000	
Total		23.0	\$133,400	\$1,600,800	

**FY 99/00 PCAB RATIO CALCULATIONS**

Co: SAMPLE DATA

**FY 99/00 PCAB RATIO CALCULATIONS**

Co: SAMPLE DATA

**FY 99/00 Anticipated Caseworker Staffing by Function and Overhead Ratio**

03/09/99  
11:25 AM  
ATT #2E  
CALC RATIO 1

	Proposed Cswkr FTEs	FY 96/97 Act Mo Hrs / FTE	Calculated Tot Mo. Hrs	Calculated OH Ratio
<b>SOCIAL SERVICES FUNCTION</b>				
CWS (Proposed FTEs) *	162.0			
Other	70.0			
<b>Social Services Sub Total</b>	232.0	135.00	31,320.00	0.326287
<b>CalWORKs FUNCTION</b>				
Eligibility (Incl EF EW, IEVS, QC & CS Dis)	99.0			
Eligibility Fraud (WFI)	9.0			
Welfare to Work	117.0			
Other	0.0			
<b>CalWORKs Sub Total</b>	225.0	128.00	28,800.00	0.300034
<b>OTHER PA FUNCTION</b>				
NAFS Eligibility (Incl QC)	63.0			
NAFS - Other (IEVS)	2.0			
NAFS Eligibility - Early Fraud (EF) EW	4.0			
NAFS - Fraud (WFI)	10.0			
Foster Care	15.0			
Medi-Cal (Intake & Continuing)	113.0			
Other	44.0			
<b>Other PA Sub Total</b>	251.0	129.00	32,379.00	0.33732
<b>CHILD CARE FUNCTION</b>				
Other	22.0			
<b>Child Care Sub Total</b>	22.0	135.00	2,970.00	0.030941
<b>NON-WELFARE FUNCTION</b>				
Other	4.0			
<b>Non-Welfare Sub Total</b>	4.0	130.00	520.00	0.005417
<b>TOTAL</b>	734.0		95,989.00	0.999999

A B C D

\* Using CWS Proposed FTEs for ratios for Draw Down.

A Proposed FTEs from Caseworkers only. Pulling FTE from input table

B FY 96/97 Actual Mo. Hours per FTE from input page

C Calculated Total Mo. Hours = Proposed Caseworker FTE \* FY 96/97 Act Hrs per FTE

D Round, if calculated total hours =0, 0 else calc total hours SUB total / calc total hours TOTAL

FY 99/00 Program/Composite/EDP Ratio Computation

03/09/99

ATT #2E

11:25 AM

CALC RATIO 2

	Proposed Cswkr FTEs	Program Ratio	Composite Ratio	Direct to Pgm Sup/OH Ratio *
<b>SOCIAL SERVICES FUNCTION</b>				
CWS (Proposed FTEs) *	162.0	0.698276	0.227838	1.000000
Other	70.0	0.301724	0.098449	1.000000
<b>Total Social Services</b>	<b>232.0</b>	<b>1.000000</b>	<b>0.326287</b>	
<b>CalWORKs FUNCTION</b>				
Eligibility ( Fraud, IEVS, QC & CS Dis)	108.0	0.480000	0.144016	1.000000
Welfare to Work	117.0	0.520000	0.156018	1.000000
Other	0.0	0.000000	0.000000	1.000000
<b>Total CalWORKs</b>	<b>225.0</b>	<b>1.000000</b>	<b>0.300034</b>	
<b>OTHER PA FUNCTION</b>				
NAFS - Eligibility (Including QC)	63.0	0.250996	0.084666	0.913045
NAFS - IEVS	2.0	0.007968	0.002688	0.028985
NAFS - EF EW (50/50/0) FTEs	1.0	0.003984	0.001344	0.014493
NAFS - EF EW (50/35/15) FTEs	3.0	0.011952	0.004032	0.043478
NAFS - WFI NAFS (50/35/15) FTEs	2.0	0.007968	0.002688	0.200000
NAFS - WFI PAFS (50/42.5/7.5) FTEs	3.0	0.011952	0.004032	0.300000
NAFS - WFI EF NAFS/PAFS (50/50/0) FTEs	5.0	0.019920	0.006719	0.500000
FC	15.0	0.059761	0.020159	1.000000
Medi-Cal (Intake & Continuing)	113.0	0.450199	0.151861	1.000000
Other PA	44.0	0.175299	0.059132	1.000000
<b>Total Other PA</b>	<b>251.0</b>	<b>0.999999</b>	<b>0.337321</b>	
<b>CHILD CARE FUNCTION</b>	<b>22.0</b>	<b>1.000000</b>	<b>0.030941</b>	<b>1.000000</b>
<b>NON-WELFARE FUNCTION</b>	<b>4.0</b>	<b>1.000000</b>	<b>0.005417</b>	<b>1.000000</b>
<b>TOTAL</b>	<b>734.0</b>		<b>1.000000</b>	

\* 1.000000  
indicates all dir to  
this pgm segment.

NAFS = 1.000000

NAFS Fraud  
= 1.000000

\* Using CWS Proposed FTEs for ratios for Draw Down.

A Proposed FTEs from Caseworkers only. Pulling FTE from input page

B Pgm Ratio = Round, If Proposed FTE Function Sub Tot =0, 0 else FTE activity line / FTE Function SubTotal

C Composite Ratio = Round, Program Ratio activity line / this Functions Calculated Overhead Ratio from Calc Ratio Page 1.

D Dir Pgm Ratio = If there is no split at this level, entered 1.0. OTHERWISE:

Round, If Proposed FTE activity lines added together =0, 0 else this Prg Ratio activity (segment) line / all Prg Ratio activity line:

WILL THE PROGRAMS LISTED BELOW BENEFIT FROM EDP IN 1999/00?

ATT #2E  
CALC RATIO 3

	1 = Yes 0 = No	Prop CW FTE's Benefit Pgm	EDP Pgm Ratio	Direct to EDP Sup/OH Ratio *
<b>SOCIAL SERVICES FUNCTION</b>				
CWS (Proposed FTEs) *	1	162.0	0.698276	1.000000
Other	1	70.0	0.301724	1.000000
<b>Total Social Services</b>		232.0	1.000000	
<b>CalWORKs FUNCTION</b>				
Eligibility (IEVS, QC & CS Dis)	1	108.0	0.480000	1.000000
Welfare to Work	1	117.0	0.520000	1.000000
Other CalWORKs	0	0.0	0.000000	1.000000
<b>Total Cal-WORKs</b>		225.0	1.000000	
<b>OTHER PA FUNCTION</b>				
NAFS - Eligibility (Includes QC)	1	63.0	0.257143	1.000000
NAFS - IEVS	0	0.0	0.000000	0.000000
NAFS - EF EW (50/50/0) FTEs	0	0.0	0.000000	0.000000
NAFS - EF EW (50/35/15) FTEs	0	0.0	0.000000	0.000000
NAFS - WFI NAFS (50/35/15) FTEs	1	2.0	0.008163	0.200000
NAFS - WFI PAFS (50/42.5/7.5) FTEs	1	3.0	0.012245	0.300000
NAFS - WFI EF NAFS/PAFS (50/50/0) FTEs	1	5.0	0.020408	0.500000
FC	1	15.0	0.061224	1.000000
Medi-Cal (Intake & Continuing)	1	113.0	0.461224	1.000000
Other PA	1	44.0	0.179592	1.000000
<b>Total Other PA</b>		245.0	1.000000	
<b>CHILD CARE FUNCTION</b>	1	22.0	1.000000	1.000000
<b>NON-WELFARE FUNCTION</b>	0	0.0	0.000000	1.000000
<b>TOTAL</b>		724.0		

\* 1.000000  
indicates all dir to  
this pgm segment.

NAFS = 1.000000

NAFS Fraud  
= 1.000000

A B C D

\* Using CWS Proposed FTEs for ratios for Draw Down.

A. Will pgms benefit form EDP in 98/99? 1=yes, 0=no

B. If benefit? = no, 0, else proposed CW FTE from ratio table #2.

C. Total Function FTEs = 0 ,0 else Pgm FTEs / Total Function FTEs.

D. Total Function FTEs = 0, 0 else All specified Pgm Segment FTEs / Total Function FTEs.

ATTACH #2F  
CALC DR DN 1

CWS SPECIAL CALC

CalWORKs FUNCTION - ELIGIBILITY/FRAUD PGM (Incl QC, IEVS, CS Disregard)				
Salary Direct to Program (Caseworkers)	\$5,918,400	Direct	1.000000	\$5,918,400
Salary Support-Clerical Direct to Program	\$126,000	Direct	1.000000	\$126,000
Salary Support-Clerical Function	\$2,100,000	Pgm Ratio	0.480000	\$1,008,000
Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.144016	\$6,049
Salary Support-Admin Direct to Program	\$0	Direct	1.000000	\$0
Salary Support-Admin Function	\$720,000	Pgm Ratio	0.480000	\$345,600
Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.144016	\$394,028
Support Expend to Program	\$1,000,000	Direct	1.000000	\$1,000,000
Support Expend to Function	\$300,000	Pgm Ratio	0.480000	\$144,000
Support Expend -Generic	\$15,700,000	Composite Ratio	0.144016	\$2,261,051
EDP CWD M & O to Program	\$10,000	Direct	1.000000	\$10,000
EDP CWD M & O to Function	\$1,800,000	EDP Pgm Ratio	0.480000	\$864,000
EDP Multi/Sgl Dev to Program	\$10,000	Direct	1.000000	\$10,000
EDP Multi/Sgl Dev to Function	\$1,200,000	EDP Pgm Ratio	0.480000	\$576,000
SUPPORT - SUB TOTAL	\$25,744,000			\$6,744,728
TOTAL	\$31,662,400			\$12,663,128

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**FY 99/00 PCAB RATIO CALCULATIONS**  
County: **SAMPLE DATA**

**SALARY AND SUPPORT DRAW DOWN**

<b>CalWORKs FUNCTION - WELFARE TO WORK</b>					<b>ATTACH #2F CALC DR DN 2</b>
Salary Direct to Program (Caseworkers)	\$6,766,800	Direct	1.000000	\$6,766,800	
Salary Support-Clerical Direct to Program	\$0	Direct	1.000000	\$0	
Salary Support-Clerical Function	\$2,100,000	Pgm Ratio	0.520000	\$1,092,000	
Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.156018	\$6,553	
Salary Support-Admin Direct to Program	\$72,000	Direct	1.000000	\$72,000	
Salary Support-Admin Function	\$720,000	Pgm Ratio	0.520000	\$374,400	
Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.156018	\$426,865	
Support Expend to Program	\$1,000,000	Direct	1.000000	\$1,000,000	
Support Expend to Function	\$300,000	Pgm Ratio	0.520000	\$156,000	
Support Expend -Generic	\$15,700,000	Composite Ratio	0.156018	\$2,449,483	
EDP CWD M & O to Program	\$0	Direct	1.000000	\$0	
EDP CWD M & O to Function	\$1,800,000	EDP Pgm Ratio	0.520000	\$936,000	
EDP Multi/Sgl Dev to Program	\$0	Direct	1.000000	\$0	
EDP Multi/Sgl Dev to Function	\$1,200,000	EDP Pgm Ratio	0.520000	\$624,000	
SUPPORT - SUB TOTAL	\$25,670,000			\$7,137,301	
TOTAL	\$32,436,800			\$13,904,101	

<b>OTHER PA FUNCTION - NAFS - ELIGIBILITY (Including QC)</b>				
Salary Direct to Program (Caseworkers)	\$3,402,000	Direct	1.000000	\$3,402,000
Salary Support-Clerical Direct to Program	\$0	Direct Pgm Ratio	0.913045	\$0
Salary Support-Clerical Function	\$3,192,000	Pgm Ratio	0.250996	\$801,179
Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.084666	\$3,556
Salary Support-Admin Direct to Program	\$0	Direct Pgm Ratio	0.913045	\$0
Salary Support-Admin Function	\$1,080,000	Pgm Ratio	0.250996	\$271,076
Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.084666	\$231,646
Support Expend to Program	\$0	Direct Pgm Ratio	0.913045	\$0
Support Expend to Function	\$200,000	Pgm Ratio	0.250996	\$50,199
Support Expend -Generic	\$15,700,000	Composite Ratio	0.084666	\$1,329,256
EDP CWD M & O to Program	\$10,000	Direct	1.000000	\$10,000
EDP CWD M & O to Function	\$2,500,000	EDP Pgm Ratio	0.257143	\$642,858
EDP Multi/Sgl Dev to Program	\$10,000	Direct	1.000000	\$10,000
EDP Multi/Sgl Dev to Function	\$350,000	EDP Pgm Ratio	0.257143	\$90,000
SUPPORT - SUB TOTAL	\$25,820,000			\$3,439,770
TOTAL	\$29,222,000			\$6,841,770

A CV CW CX CY CZ DA DB DC DD DE DF

1 **FY 99/00 PCAB RATIO CALCULATIONS**  
2 County: **SAMPLE DATA**

3	<b>SALARY AND SUPPORT DRAW DOWN</b>					
131	<b>OTHER PA FUNCTION - NAFS - ELIGIBILITY - QC - COMBINED WITH ELIGIBILITY</b>					<b>ATTACH #2F</b>
132	Salary Direct to Program (Caseworkers)	N/A	N/A		N/A	<b>CALC DR DN 3</b>
133						
134						
135	Salary Support-Clerical Direct to Program	N/A	N/A		N/A	
136	Salary Support-Clerical Function	N/A	N/A		N/A	
137	Salary Support-Clerical Generic	N/A	N/A		N/A	
138	Salary Support-Admin Direct to Program	N/A	N/A		N/A	
139	Salary Support-Admin Function	N/A	N/A		N/A	
140	Salary Support-Admin Generic	N/A	N/A		N/A	
141						
142						
143						
144						
145						
146	Support Expend to Program	N/A	N/A		N/A	
147	Support Expend to Function	N/A	N/A		N/A	
148	Support Expend -Generic	N/A	N/A		N/A	
149	EDP CWD M & O to Program	N/A	N/A		N/A	
150	EDP CWD M & O to Function	N/A	N/A		N/A	
151	EDP Multi/Sgl Dev to Program	N/A	N/A		N/A	
152	EDP Multi/Sgl Dev to Function	N/A	N/A		N/A	
153						
154						
155						
156	SUPPORT - SUB TOTAL	N/A	N/A		N/A	
157	TOTAL	N/A	N/A		N/A	

166	<b>OTHER PA FUNCTION - NAFS ELIGIBILITY - IEVS</b>				
167	Salary Direct to Program (Caseworkers)	\$108,000	Direct	1.000000	<b>\$108,000</b>
168					
169					
170	Salary Support-Clerical Direct to Program	\$0	Direct Pgm Ratio	0.028985	\$0
171	Salary Support-Clerical Function	\$3,192,000	Pgm Ratio	0.007968	\$25,434
172	Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.002688	\$113
173	Salary Support-Admin Direct to Program	\$0	Direct Pgm Ratio	0.028985	\$0
174	Salary Support-Admin Function	\$1,080,000	Pgm Ratio	0.007968	\$8,605
175	Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.002688	\$7,354
176					
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180					
181	Support Expend to Program	\$0	Direct Pgm Ratio	0.028985	\$0
182	Support Expend to Function	\$200,000	Pgm Ratio	0.007968	\$1,594
183	Support Expend -Generic	\$15,700,000	Composite Ratio	0.002688	\$42,202
184	EDP CWD M & O to Program	\$10,000	Direct to EDP	0.000000	\$0
185	EDP CWD M & O to Function	\$2,500,000	EDP Pgm Ratio	0.000000	\$0
186	EDP Multi/Sgl Dev to Program	\$10,000	Direct to EDP	0.000000	\$0
187	EDP Multi/Sgl Dev to Function	\$350,000	EDP Pgm Ratio	0.000000	\$0
188					
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190					
191	SUPPORT - SUB TOTAL	\$25,820,000			<b>\$85,302</b>
192	TOTAL	\$25,928,000			<b>\$193,302</b>

1 **FY 99/00 PCAB RATIO CALCULATIONS**

2 **County: SAMPLE DATA**

3 **SALARY AND SUPPORT DRAW DOWN**

195	<b>OTHER PA FUNCTION - NAFS - EARLY FRAUD - EW (50/50/0)</b>					<b>ATTACH #2F</b>
196	Salary Direct to Program (Caseworkers)	\$54,000	Direct	1.000000	\$54,000	<b>CALC DR DN 4</b>
197						
198						
199	Salary Support-Clerical Direct to Program	\$0	Direct Pgm Ratio	0.014493	\$0	
200	Salary Support-Clerical Function	\$3,192,000	Pgm Ratio	0.003984	\$12,717	
201	Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.001344	\$56	
202	Salary Support-Admin Direct to Program	\$0	Direct Pgm Ratio	0.014493	\$0	
203	Salary Support-Admin Function	\$1,080,000	Pgm Ratio	0.003984	\$4,303	
204	Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.001344	\$3,677	
205						
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210	Support Expend to Program	\$0	Direct Pgm Ratio	0.014493	\$0	
211	Support Expend to Function	\$200,000	Pgm Ratio	0.003984	\$797	
212	Support Expend -Generic	\$15,700,000	Composite Ratio	0.001344	\$21,101	
213	EDP CWD M & O to Program	\$10,000	Direct to EDP	0.000000	\$0	
214	EDP CWD M & O to Function	\$2,500,000	EDP Pgm Ratio	0.000000	\$0	
215	EDP Multi/Sgl Dev to Program	\$10,000	Direct to EDP	0.000000	\$0	
216	EDP Multi/Sgl Dev to Function	\$350,000	EDP Pgm Ratio	0.000000	\$0	
217						
218						
219						
220	SUPPORT - SUB TOTAL	\$25,820,000			\$42,651	
221	TOTAL	\$25,874,000			\$96,651	

229	<b>OTHER PA FUNCTION - NAFS - EARLY FRAUD - EW (50/35/15)</b>				
230	Salary Direct to Program (Caseworkers)	\$162,000	Direct	1.000000	\$162,000
231					
232					
233	Salary Support-Clerical Direct to Program	\$0	Direct Pgm Ratio	0.043478	\$0
234	Salary Support-Clerical Function	\$3,192,000	Pgm Ratio	0.011952	\$38,151
235	Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.004032	\$169
236	Salary Support-Admin Direct to Program	\$0	Direct Pgm Ratio	0.043478	\$0
237	Salary Support-Admin Function	\$1,080,000	Pgm Ratio	0.011952	\$12,908
238	Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.004032	\$11,032
239					
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243					
244	Support Expend to Program	\$0	Direct Pgm Ratio	0.043478	\$0
245	Support Expend to Function	\$200,000	Pgm Ratio	0.011952	\$2,390
246	Support Expend -Generic	\$15,700,000	Composite Ratio	0.004032	\$63,302
247	EDP CWD M & O to Program	\$10,000	Direct to EDP	0.000000	\$0
248	EDP CWD M & O to Function	\$2,500,000	EDP Pgm Ratio	0.000000	\$0
249	EDP Multi/Sgl Dev to Program	\$10,000	Direct to EDP	0.000000	\$0
250	EDP Multi/Sgl Dev to Function	\$350,000	EDP Pgm Ratio	0.000000	\$0
251					
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253					
254	SUPPORT - SUB TOTAL	\$25,820,000			\$127,953
255	TOTAL	\$25,982,000			\$289,953



1 **FY 99/00 PCAB RATIO CALCULATIONS**

2 County: **SAMPLE DATA**

3 **SALARY AND SUPPORT DRAW DOWN**

260	<b>OTHER PA FUNCTION - WFI NAFS (50/35/15)</b>					<b>ATTACH #2F</b>
261	Salary Direct to Program (Caseworkers)	\$127,200	Direct	1.000000	\$127,200	<b>CALC DR DN 5</b>
262						
263						
264	Salary Support-Clerical Direct to Program	\$0	Direct Pgm Ratio	0.200000	\$0	
265	Salary Support-Clerical Function	\$3,192,000	Pgm Ratio	0.007968	\$25,434	
266	Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.002688	\$113	
267	Salary Support-Admin Direct to Program	\$144,000	Direct Pgm Ratio	0.200000	\$28,800	
268	Salary Support-Admin Function	\$1,080,000	Pgm Ratio	0.007968	\$8,605	
269	Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.002688	\$7,354	
270						
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275	Support Expend to Program	\$0	Direct Pgm Ratio	0.200000	\$0	
276	Support Expend to Function	\$200,000	Pgm Ratio	0.007968	\$1,594	
277	Support Expend -Generic	\$15,700,000	Composite Ratio	0.002688	\$42,202	
278	EDP CWD M & O to Program	\$0	Direct to EDP	0.200000	\$0	
279	EDP CWD M & O to Function	\$2,500,000	EDP Pgm Ratio	0.008163	\$20,408	
280	EDP Multi/Sgl Dev to Program	\$0	Direct to EDP	0.200000	\$0	
281	EDP Multi/Sgl Dev to Function	\$350,000	EDP Pgm Ratio	0.008163	\$2,857	
282						
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284						
285	SUPPORT - SUB TOTAL	\$25,944,000			\$137,366	
286	TOTAL	\$26,071,200			\$264,566	

294	<b>OTHER PA FUNCTION - WFI PAFS (50/42.5/7.5)</b>				
295	Salary Direct to Program (Caseworkers)	\$190,800	Direct	1.000000	\$190,800
296					
297					
298	Salary Support-Clerical Direct to Program	\$0	Direct Pgm Ratio	0.300000	\$0
299	Salary Support-Clerical Function	\$3,192,000	Pgm Ratio	0.011952	\$38,151
300	Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.004032	\$169
301	Salary Support-Admin Direct to Program	\$144,000	Direct Pgm Ratio	0.300000	\$43,200
302	Salary Support-Admin Function	\$1,080,000	Pgm Ratio	0.011952	\$12,908
303	Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.004032	\$11,032
304					
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306					
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308					
309	Support Expend to Program	\$0	Direct Pgm Ratio	0.300000	\$0
310	Support Expend to Function	\$200,000	Pgm Ratio	0.011952	\$2,390
311	Support Expend -Generic	\$15,700,000	Composite Ratio	0.004032	\$63,302
312	EDP CWD M & O to Program	\$0	Direct to EDP	0.300000	\$0
313	EDP CWD M & O to Function	\$2,500,000	EDP Pgm Ratio	0.012245	\$30,613
314	EDP Multi/Sgl Dev to Program	\$0	Direct to EDP	0.300000	\$0
315	EDP Multi/Sgl Dev to Function	\$350,000	EDP Pgm Ratio	0.012245	\$4,286
316					
317					
318					
319	SUPPORT - SUB TOTAL	\$25,944,000			\$206,051
320	TOTAL	\$26,134,800			\$396,851

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FY 99/00 PCAB RATIO CALCULATIONS

County: SAMPLE DATA

SALARY AND SUPPORT DRAW DOWN

OTHER PA FUNCTION - WFI EF NAFS/FAFS (50/50/0)

Salary Direct to Program (Caseworkers)	\$318,000	Direct	1.000000	\$318,000
Salary Support-Clerical Direct to Program	\$0	Direct Pgm Ratio	0.500000	\$0
Salary Support-Clerical Function	\$3,192,000	Pgm Ratio	0.019920	\$63,585
Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.006719	\$282
Salary Support-Admin Direct to Program	\$144,000	Direct Pgm Ratio	0.500000	\$72,000
Salary Support-Admin Function	\$1,080,000	Pgm Ratio	0.019920	\$21,514
Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.006719	\$18,383
Support Expend to Program	\$0	Direct Pgm Ratio	0.500000	\$0
Support Expend to Function	\$200,000	Pgm Ratio	0.019920	\$3,984
Support Expend -Generic	\$15,700,000	Composite Ratio	0.006719	\$105,488
EDP CWD M & O to Program	\$0	Direct to EDP	0.500000	\$0
EDP CWD M & O to Function	\$2,500,000	EDP Pgm Ratio	0.020408	\$51,020
EDP Multi/Sgl Dev to Program	\$0	Direct to EDP	0.500000	\$0
EDP Multi/Sgl Dev to Function	\$350,000	EDP Pgm Ratio	0.020408	\$7,143
SUPPORT - SUB TOTAL	\$25,944,000			\$343,399
TOTAL	\$26,262,000			\$661,399

ATTACH #2F  
CALC DR DN 6

FOSTER CARE				
Salary Direct to Program (Caseworkers)	\$810,000	Direct	1.000000	\$810,000
Salary Support-Clerical Direct to Program	\$42,000	Direct	1.000000	\$42,000
Salary Support-Clerical Function	\$3,192,000	Pgm Ratio	0.059761	\$190,757
Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.020159	\$847
Salary Support-Admin Direct to Program	\$0	Direct	1.000000	\$0
Salary Support-Admin Function	\$1,080,000	Pgm Ratio	0.059761	\$64,542
Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.020159	\$55,155
Support Expend to Program	\$100,000	Direct	1.000000	\$100,000
Support Expend to Function	\$200,000	Pgm Ratio	0.059761	\$11,952
Support Expend -Generic	\$15,700,000	Composite Ratio	0.020159	\$316,496
EDP CWD M & O to Program	\$0	Direct	1.000000	\$0
EDP CWD M & O to Function	\$2,500,000	EDP Pgm Ratio	0.061224	\$153,060
EDP Multi/Sgl Dev to Program	\$0	Direct	1.000000	\$0
EDP Multi/Sgl Dev to Function	\$350,000	EDP Pgm Ratio	0.061224	\$21,428
SUPPORT - SUB TOTAL	\$25,942,000			\$956,238
TOTAL	\$26,752,000			\$1,766,238

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FY 99/00 PCAB RATIO CALCULATIONS

County: SAMPLE DATA

SALARY AND SUPPORT DRAW DOWN

MEDI-CAL (Intake and Continuing)					ATTACH #2F	
Salary Direct to Program (Caseworkers)	\$6,102,000	Direct	1.000000	\$6,102,000	CALC DR DN 7	
Salary Support-Clerical Direct to Program	\$0	Direct	1.000000	\$0		
Salary Support-Clerical Function	\$3,192,000	Pgm Ratio	0.450199	\$1,437,035		
Salary Support-Clerical Generic	\$42,000	Composite Ratio	0.151861	\$6,378		
Salary Support-Admin Direct to Program	\$72,000	Direct	1.000000	\$72,000		
Salary Support-Admin Function	\$1,080,000	Pgm Ratio	0.450199	\$486,215		
Salary Support-Admin Generic	\$2,736,000	Composite Ratio	0.151861	\$415,492		
Support Expend to Program	\$200,000	Direct	1.000000	\$200,000		
Support Expend to Function	\$200,000	Pgm Ratio	0.450199	\$90,040		
Support Expend -Generic	\$15,700,000	Composite Ratio	0.151861	\$2,384,218		
EDP CWD M & O to Program	\$0	Direct	1.000000	\$0		
EDP CWD M & O to Function	\$2,500,000	EDP Pgm Ratio	0.461224	\$1,153,060		
EDP Multi/Sgl Dev to Program	\$20,000	Direct	1.000000	\$20,000		
EDP Multi/Sgl Dev to Function	\$350,000	EDP Pgm Ratio	0.461224	\$161,428		
SUPPORT - SUB TOTAL	\$26,092,000			\$6,425,866		
TOTAL	\$32,194,000			\$12,527,866		

1 FY 99/00 Proposed COUNTY ADMINISTRATIVE BUDGET  
2 Co: SAMPLE DATA

1 FY 99/00 Proposed COUNTY ADMINISTRATIVE BUDGET  
2 Co: SAMPLE DATA

6 CALWORKS FUNCTION:

ATTACH #2G  
OUTPUT PG 1

ELIGIBILITY	FY 99/00 Prop FTEs	FY 99/00 Calc Staff Costs	FY 99/00 Calc Supp Dr Dn Costs	FY 99/00 Total
Eligibility (Incl EF EW, IEVS, QC & CS Disregard)	108.0	\$5,918,400	\$6,744,728	\$12,663,128
Eligibility Unit Cost			\$117,251	
DA Contract (Investigators)	6.0			\$675,000
DA Contract - EF (Invest)	2.0			\$50,000
<b>Sub Total</b>	8.0			\$725,000
Prosecution				\$142,000
CS Disregard Direct Contract				\$10,000
<b>TOTAL</b>	116.0			\$13,540,128

Less MOE  
plus premise

25 WELFARE TO WORK

	FY 99/00 Prop FTEs	FY 99/00 Calc Staff Costs	FY 99/00 Calc Supp Dr Dn Costs	FY 99/00 Total
<b>TOTAL</b>	117.0	\$6,766,800	\$7,137,301	\$13,904,101
Welfare to Work Unit Cost			\$118,838	Info for Estimates

FY 99/00 Proposed COUNTY ADMINISTRATIVE BUDGET  
 Co: SAMPLE DATA

ATTACH #2G  
 OUTPUT PG 2

OTHER PUBLIC ASSISTANCE

NAFS	FY 99/00 Prop FTEs	FY 99/00 Calc Staff Costs	FY 99/00 Calc Supp Dr Dn Costs	FY 99/00 Total
NAFS Elig (50/35/15) (Incl QC)	63.0	\$3,402,000	\$3,439,770	\$6,841,770
NAFS IEVS (50/50/0)	2.0	\$108,000	\$85,302	\$193,302
<b>Sub Total</b>	65.0	\$3,510,000	\$3,525,072	\$7,035,072
NAFS EF EW (50/50/0)	1.0	\$54,000	\$42,651	\$96,651
NAFS EF EW (50/35/15)	3.0	\$162,000	\$127,953	\$289,953
<b>Sub Total</b>	4.0	\$216,000	\$170,604	\$386,604
WFI NAFS (50/35/15)	2.0	\$127,200	\$137,366	\$264,566
WFI PAFS (50/42.5/7.5)	3.0	\$190,800	\$206,051	\$396,851
WFI EF NAFS/PAFS (50/50/0)	5.0	\$318,000	\$343,399	\$661,399
<b>Sub Total</b>	10.0	\$636,000	\$686,816	\$1,322,816
DA Contract NAFS (50/35/15)	1.0			\$24,000
DA Contract PAFS (50/42.5/7.5)	6.0			\$675,000
DA EF Contract (50/50/0)	2.0			\$60,000
<b>Sub Total</b>	9.0			\$759,000
NAFS Prosecution (50/35/15)				\$32,000
PAFS Prosecution (50/42.5/7.5)				\$142,000
<b>Sub Total</b>				\$174,000
<b>TOTAL</b>	88.0			\$9,677,491

NAFS TOTALS	TOTAL	STATE
NAFS Staffing and Support (50/35/15)	\$6,841,770	\$2,394,620
NAFS IEVS Staffing and Support (50/50/0)	\$193,302	\$96,651
<b>NAFS Staffing and Support Sub-Total</b>	<b>\$7,035,072</b>	<b>\$2,491,271</b>
NAFS Early Fraud (EF) EW (50/50/0)	\$96,651	\$48,325
NAFS Early Fraud (EF) EW (50/35/15)	\$289,953	\$101,483
NAFS Fraud (50/35/15)	\$320,566	\$112,198
PAFS Fraud (50/42.5/7.5)	\$1,213,851	\$515,887
NAFS/PAFS Fraud (50/50/0)	\$721,399	\$360,699
<b>TOTAL</b>	<b>\$9,677,491</b>	<b>\$3,629,863</b>

NAFS ISSUANCE	TOTAL	STATE (35%)
Issuance	\$550,000	\$192,500
FSOLIS	\$10,000	\$3,500
<b>TOTAL</b>	<b>\$560,000</b>	<b>\$196,000</b>

FOSTER CARE	FY 99/00 Prop FTEs	FY 99/00 Calc Staff Costs	FY 99/00 Calc Supp Dr Dn Costs	FY 99/00 Total
<b>TOTAL</b>	15.0	\$810,000	\$956,238	\$1,766,238

Has MOE

MEDI-CAL (Intake and Continuing)	FY 99/00 Prop FTEs	FY 99/00 Calc Staff Costs	FY 99/00 Calc Supp Dr Dn Costs	FY 99/00 Total
<b>TOTAL</b>	113.0	\$6,102,000	\$6,425,866	\$12,527,866

Medi-Cal  
 Allocates

SOCIAL SERVICES

CWS	FY 99/00 Justif FTEs	FY 99/00 Prop FTEs	FY 99/00 Calc Staff Costs	FY 99/00 Calc Supp Dr Dn Costs	FY 99/00 Total
<b>TOTAL</b>	136.0	162.0	\$9,139,200	\$7,827,899	\$16,967,099

CWS Unit Cost	\$124,758
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COUNTY	Justified FTEs	Proposed FTEs	Staff Costs	Support Costs	Total Staff and Support Costs	Unit Cost
Alameda	212.3	213.0	\$14,849,960	\$10,055,505	\$24,905,465	\$117,313
Alpine	2.0	1.5	\$71,280	\$147,051	\$218,331	\$109,165
Amador	4.0	3.4	\$183,498	\$146,549	\$330,047	\$82,512
Butte	82.3	80.0	\$3,752,880	\$2,388,674	\$6,141,554	\$74,624
Calaveras	9.5	10.0	\$402,876	\$298,761	\$701,637	\$73,857
Colusa	4.5	4.5	\$180,792	\$231,030	\$411,822	\$91,516
Contra Costa	135.9	162.0	\$9,158,361	\$7,351,811	\$16,510,172	\$121,488
Del Norte	8.8	8.8	\$398,112	\$259,979	\$658,091	\$74,783
El Dorado	23.5	25.2	\$1,080,685	\$771,868	\$1,852,553	\$78,832
Fresno	245.1	245.1	\$11,208,913	\$6,481,862	\$17,690,775	\$72,178
Glenn	11.1	11.0	\$422,244	\$396,813	\$819,057	\$73,789
Humboldt	29.0	47.8	\$1,127,530	\$821,555	\$1,949,085	\$67,210
Imperial	23.5	23.5	\$1,070,207	\$638,873	\$1,709,080	\$72,727
Inyo	4.0	4.0	\$239,664	\$158,442	\$398,106	\$99,526
Kern	188.0	197.6	\$9,914,876	\$6,988,140	\$16,903,016	\$89,910
Kings	31.3	31.3	\$1,375,823	\$696,668	\$2,072,491	\$66,214
Lake	16.9	15.6	\$734,142	\$546,041	\$1,280,183	\$75,750
Lassen	11.9	12.0	\$406,980	\$436,448	\$843,428	\$70,876
Los Angeles	2,708.7	2,708.7	\$168,242,774	\$127,724,230	\$295,967,004	\$109,265
Madera	21.1	21.1	\$806,442	\$586,385	\$1,392,827	\$66,011
Marin	22.5	37.1	\$1,402,110	\$700,266	\$2,102,376	\$93,439
Mariposa	5.6	5.6	\$260,736	\$191,586	\$452,322	\$80,772
Mendocino	35.9	35.9	\$1,747,756	\$2,339,623	\$4,087,379	\$113,855
Merced	53.4	53.4	\$2,815,675	\$1,577,993	\$4,393,668	\$82,278
Modoc	3.0	3.0	\$141,302	\$89,278	\$230,580	\$76,860
Mono	2.0	2.0	\$74,856	\$138,347	\$213,203	\$106,602
Monterey	44.8	47.8	\$2,467,046	\$2,350,725	\$4,817,771	\$107,540
Napa	11.7	12.8	\$675,184	\$673,587	\$1,348,771	\$115,280
Nevada	12.1	13.3	\$543,123	\$291,110	\$834,233	\$68,945
Orange	369.4	483.5	\$22,737,561	\$14,208,182	\$36,945,743	\$100,016
Placer	47.7	47.7	\$2,629,606	\$2,342,655	\$4,972,261	\$104,240
Plumas	6.3	6.0	\$265,810	\$270,567	\$536,377	\$85,139
Riverside	317.9	314.9	\$18,349,188	\$17,536,548	\$35,885,736	\$112,884
Sacramento	408.2	408.2	\$27,122,441	\$13,978,625	\$41,101,066	\$100,689
San Benito	8.4	8.5	\$366,307	\$380,981	\$747,288	\$88,963
San Bernardino	408.6	413.1	\$20,970,986	\$15,067,127	\$36,038,113	\$88,199
San Diego	615.4	615.4	\$31,474,018	\$27,819,854	\$59,293,872	\$96,350
San Francisco	121.3	190.9	\$7,907,486	\$6,494,358	\$14,401,844	\$118,729
San Joaquin	97.6	120.2	\$5,057,574	\$3,590,409	\$8,647,983	\$88,606
San Luis Obispo	34.3	38.8	\$1,936,050	\$2,269,491	\$4,205,541	\$122,611
San Mateo	62.2	85.5	\$4,880,710	\$3,411,559	\$8,292,269	\$133,316
Santa Barbara	45.7	53.5	\$2,483,155	\$3,112,628	\$5,595,783	\$122,446
Santa Clara	227.7	271.0	\$16,176,114	\$15,167,312	\$31,343,426	\$137,652
Santa Cruz	37.9	48.0	\$2,113,456	\$1,740,419	\$3,853,875	\$101,685
Shasta	49.5	51.3	\$2,340,360	\$1,302,694	\$3,643,054	\$73,597
Sierra	2.0	2.0	\$104,976	\$104,141	\$209,117	\$104,558
Siskiyou	12.3	14.5	\$517,187	\$375,169	\$892,356	\$72,549
Solano	37.0	37.0	\$1,962,480	\$1,654,859	\$3,617,339	\$97,766
Sonoma	69.1	81.0	\$3,895,506	\$3,190,790	\$7,086,296	\$102,551
Stanislaus	75.9	75.9	\$4,231,870	\$2,876,251	\$7,108,121	\$93,651
Sutter	22.7	22.7	\$1,128,553	\$1,011,770	\$2,140,323	\$94,287
Tehama	16.6	18.0	\$697,798	\$301,023	\$998,821	\$60,170
Trinity	5.3	5.3	\$211,979	\$199,197	\$411,176	\$77,580
Tulare	103.2	103.2	\$4,770,317	\$3,043,070	\$7,813,387	\$75,711
Tuolumne	10.1	10.1	\$439,229	\$256,736	\$695,965	\$68,907
Ventura	76.5	95.0	\$4,124,574	\$3,471,606	\$7,596,180	\$99,296
Yolo	32.4	32.4	\$1,435,583	\$1,009,490	\$2,445,073	\$75,465
Yuba	27.9	28.9	\$1,238,760	\$813,267	\$2,052,027	\$73,549
Total	7,313.5	7,719.5	\$427,325,461	\$322,479,979	\$749,805,440	\$102,523

## **PCAP Concept**

### **PCAB'S Relationship to Allocations**

This exhibit is not available electronically. If you would like a copy of these flow charts, please contact:

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**OUTCOME MEASURES, PROCESS MEASURES, AND  
CONDITIONS IN THE CHILD WELFARE SYSTEM**

**REPORT TO THE LEGISLATURE**

MARCH 1998



OUTCOME MEASURES, PROCESS MEASURES,  
AND CONDITIONS IN THE  
CHILD WELFARE SYSTEM

REPORT MANDATE

Budget Item 5180-001-0001 of the Budget Act of 1997 (AB 107, Chapter 282, Statutes of 1997) requires the California Department of Social Services, in consultation with the County Welfare Directors' Association, legislative staff, and others to identify and report outcomes and outcome indicators for the child welfare services system.

This report fulfills the requirement of Budget Item 5180-001-0001, Provision 8, of the 1997 Budget Act

## EXECUTIVE SUMMARY

California's 1997/98 Budget Act required the California Department of Social Services (CDSS) to report to the Legislature on outcomes and outcome indicators for the child welfare services system. The child welfare system is a continuum of service care provided to children who are abused, neglected, or exploited and their families.

### **Input and Process**

This report is the result of an intensive work effort between CDSS and the County Welfare Directors Association (CWDA) between August 1997 and January 1998. It includes input received from legislative staff, the California Association of Children's Homes, California Services to Children, and other stakeholders. Information is provided on seven desired programmatic outcomes and their respective indicators that are important to the safety and well-being of children who are or who may become recipients of child welfare services.

### **Major Themes: Outcomes and Indicators**

The data that comes out of measuring the outcomes by the selected indicators will give us a view of the impact of our program. In addition to this data, supplemental information will need to be collected to explain why these results were obtained. Through these two sets of information, more effective policies can be developed to achieve the goals of safety, improved child well-being, and nurturing, permanent families. Accordingly, major outcome and indicator themes center around the following:

- Access to services that may act as an alternative to services provided by the child welfare system.
- Child safety.
- Movements of children into and out of foster care.
- Family and child functioning as it affects caretakers' ability to care for their children in a safe manner.
- The extent of voluntary, as opposed to court-ordered, receipt of child welfare services.
- The ability of foster children to maintain family and community ties.
- The safety and health of children placed in foster care.
- The degree of permanence of placement arrangements made for foster children and the speed with which permanent placement are found.
- Whether children leaving foster care upon reaching majority age (18 years) are able to meet their basic needs.
- Whether outcome and indicator data accurately reflect the experience of children and families being served by the child welfare system.

### **Data Collection/Limitations**

The Child Welfare System/Case Management System (CWS/CMS) will be the primary vehicle for collecting information on outcomes and indicators. The CWS/CMS is a large comprehensive automated system that links all 58 counties and the state to a statewide database for child welfare services. A limitation of CWS/CMS is that it has only recently come into use in

California counties and it will be some time before all data will be available and the system will be used in a uniform fashion throughout the state.

Currently, state-level and local-level users of the CWS/CMS have the capability of accessing data stored in the statewide database via preprogrammed reports or ad hoc queries of the system. This capability provides point-in-time glimpses of particular data; however, this capability falls far short of providing the comprehensive extract of data needed to measure outcomes and indicators over a period of time. It is important to note that even after counties fully integrate the system and fully utilize its data tracking capabilities, it will be necessary to create and implement methods for ensuring the accuracy, validity, and reliability of data contained on CWS/CMS. The cost to produce the outcome data, along with the development of the validation process will require a significant commitment of both human and new fiscal resources.

### **Additional Relevant Data**

Some of the outcomes and indicators identified in this report are for populations or data elements that are not currently tracked on CWS/CMS. This data is considered important because it addresses the continuum of child welfare services. This information will need to be accessed from other sources such as surveys, studies and other data collection systems.

Examples of the type of information needed that is not available from CWS/CMS include:

- 1) A study to assess whether families of children who receive in-home child welfare services show improved ability to care for their children in a safe manner.
- 2) The use of a standardized questionnaire by local Child Death Review Teams for all cases of child death. Numbers of deaths are too few to have statistical significance as an indicator, but may have policy and procedure significance.
- 3) A study to assess the ability of children who emancipate from foster care to care for themselves. The Governor's Budget for 1998-99 proposes to finance such a study.
- 4) A study to assess outcomes that result from prevention and early intervention activities. Since these efforts are provided to families who have not entered the child welfare services system, they are not tracked on CWS/CMS.

### **Conclusion**

In Order to achieve the seven desired outcomes for the child welfare system, it is recommended that data be obtained through CWS/CMS, as well as through studies and other data collection systems. This will require a significant commitment of resources.

## OUTCOME MEASURES, PROCESS MEASURES, AND CONDITIONS IN THE CHILD WELFARE SYSTEM

The following are outcomes that represent a consensus of those conditions that need to be addressed in the Child Welfare System to measure improvement for the safety and well-being of children and families. The indicators that accompany each of the outcomes will be those specific areas that will need to be measured in order to determine the progress or the possible need for improvement. Unless noted, all information that will be required for the indicators will be retrieved from the Child Welfare Services/Case Management System.

1. *Families have access to community support systems to provide an alternative to involvement with the child welfare services system.*

### **Indicators:**

- a. Information about the extent and adequacy of services children and families received prior to receipt of child welfare services. Specific attention will be given to services provided through the Family Preservation and Support Program (FPS). (Special studies and surveys will be required since this information is not available from CWS/CMS).
2. *Families of children who receive in-home child welfare services show improved ability to care for their children in a safe manner.*

### **Indicators:**

- a. The number and percent of children served in-home whose caretakers are free of substantiated reports of abuse/neglect necessitating medical treatment or hospitalization for two years after case opening.
- b. The number and percent of children served in-home that are placed in out of home care within two years of the opening of the in-home service case.
- c. Measurements of family functioning that improve families' ability to care for their children in a safe manner. (Special surveys and studies will be required since this information is not available from CWS/CMS.)
3. *Families who are referred to child protective services receive voluntary services*

### **Indicators:**

- a. Number **and percent** of children being served in voluntary status.
4. *Children removed from home maintain family and/or community ties.*

### **Indicators:**

- a. The number and percent of children in non-relative foster care who have siblings in foster care and who are placed with at least one of their siblings. Data will also be

provided on the number and percent of families with more than one sibling in non-relative foster care where all siblings are placed together.

- b. The number and percent of children placed in out-of-home care who are in kinship placements.
- c. The number and percent of children in non-relative foster care, whose case plan is for reunification with their family, who remain in their home community while in foster care.

5. *Children in out-of-home care are in a safe, healthy living environment.*

**Indicators:**

- a. Substantiated reports of abuse/neglect in out-of-home placement per year. Data will also be provided for substantiated reports of abuse/neglect requiring medical treatment or hospitalization.
- b. The number and percent of children in out-of-home care who have received needed immunizations.
- c. The number and percent of children in out-of-home care who receive medical and dental examinations within 30 days of entering placement in accord with Child Health and Disability Prevention (CHAP) guidelines.
- d. The number and percent of foster children under age 12 who are in group care.

6. *Children in out-of-home care shall achieve timely, legal permanence (reunification, adoption, guardianship).*

**Indicators:**

- a. The number and percent of children in relative and non-relative foster care whose placements are made permanent through adoption within one year, two years, three years, and four years of placement in foster care.
- b. The number and percent of children in relative and non-relative foster care whose placements are made permanent through establishment of guardianship within one year, two years, three years, and four years of placement in foster care.
- c. The number and percent of children in relative and non-relative placements in the Family Reunification Program who are reunited with their families within 30 days, 6 months, 12 months, and 18 months of placement in foster care.

7. *Children aging-out of foster care shall be able to meet their basic needs.*

**Indicators:**

The CDSS has proposed a study to be financed in next fiscal year's budget which was announced on January 9, 1998. That study will address the ability of foster children to meet their basic needs after leaving foster care at age 18. Among the issues and questions to be examined through the study are the following:

- a. Whether and how quickly children aging-out of foster care obtain employment adequate to support themselves.
- b. What is the nature and went of participation in educational programs among those aging-out of foster care.
- c. To what extent are children aging-out of foster care reliant on public assistance *for* their livelihood?
- d. To what extent are children aging-out of foster care involved with the criminal justice system?
- e. To what extent are children aging-out of faster care in need of mental health services?
- f. Do children aging-out of foster care find adequate housing?
- g. To what extent do children aging-out of foster care return to their families of origin?

**A DESCRIPTION OF THE**  
**CALIFORNIA CHILD WELFARE SERVICES**  
**STRUCTURED DECISION-MAKING**  
**PROJECT**

**February, 1999**

*If you have questions you may call Will Johnson, PhD, Director of Research, Structured Decision-Making Project, or Nancy Stone, Chief, Children's Services Operations Bureau. Both are with Children and Family Services Division of the California Department of Social Services and can be reached at 916-445-2832.*

## **THE CHILD WELFARE SERVICES STRUCTURED DECISION-MAKING PROJECT**

### **I. Purpose**

Every year in California, child welfare agencies receive thousands of reports alleging child maltreatment. These reports set in motion numerous actions intended to protect children and minimize the effects of maltreatment. These actions include, but are not limited to, screening and investigation of reports, assessments of child safety and risk, delivery of services to children and families, and case closure when child safety permits it.

Child maltreatment case assessments and decisions are made under difficult circumstances. The number of maltreatment cases is very large relative to the number of available child protective service (CPS) workers. Treatment and case management resources are scarce. As workload and time pressures increase, so does the potential for inconsistent and erroneous decision-making. The human consequences of error can be severe.

California's child protective service workers and managers do a good job working with tough cases under difficult circumstances. The Structured Decision-making (SDM) pilot project is designed to address the difficult problems described above, and thus, to aid child welfare professionals in their efforts to protect children. It is intended to foster positive evolution contributing to the already considerable strengths of California's child welfare service programs.

#### ***Expected Overall Effect of SDM***

When properly implemented and supported, SDM will help ensure that families receive services appropriate for their levels of risk and identified needs by linking risk and needs assessments to service plans and actions taken in cases. SDM will assist in management of resources and provide agencies with management reports that can be used for monitoring, planning, and evaluation. The basic strengths of this approach lie in its completeness, simplicity, utility, and the accountability it introduces. Based on research, jurisdictions that use SDM can be expected to have better outcomes for children than those that do not in a number of areas, including the following:

- ***Higher rates of service provision for needs identified in case plans.***
- ***Fewer new maltreatment reports and fewer new, substantiated maltreatment incidents on previously served cases.***
- ***Fewer out-of-home placements subsequent to receipt of service, fewer subsequent child injuries, and fewer subsequent child injuries requiring medical treatment or hospitalization.***

### **II. Counties Participating in the Project and Project Timeline**

The project has attracted the active participation of seven counties. These are Los Angeles, Orange, San Bernardino, Santa Clara, Alameda, Sacramento, and Humboldt. These counties volunteered to begin the project and have participated in its development and research phases. A second group of counties have expressed an interest in learning more about SDM or



have specifically requested to become active participants. These counties include Fresno, Kern, Lassen, Madera, Monterey, Trinity, Ventura, and Yuba.

The project began in January of 1998 and will span a period of 36 months. During the first year of the project, all SDM instruments and procedures have been developed, reviewed, and approved. During the first quarter of 1999, Humboldt and Orange counties will be training their staff and implementing SDM. Other counties in the first group of seven counties will follow during the period of April through August. Counties in the second group that would like to pursue implementation of SDM will be trained on the process and tools beginning in March 1999.

### **III. Structured Decision-Making (SDM) Model**

#### ***Overview and System Components***

The pilot project is designed to bring added structure to decision-making, increase reliance on research in the assessment of risk of child maltreatment, and increase the amount of case information line staff and managers have available to do their jobs.

The components of the SDM project include the following:

- A response priority system for deciding whether to investigate reports and how quickly to investigate them;
- A safety assessment system to assess child safety at the time of investigation;
- Research-based risk assessment and reassessment systems to assess the potential for future maltreatment;
- Child and family strength and needs assessment and reassessment tools to identify critical family problems and help plan effective service interventions;
- A family reunification assessment tool to aid in deciding whether it is appropriate to return children home from foster care;
- A statement of prescribed service standards to identify amounts and kinds of service to be provided given risk of maltreatment recurrence, family strengths and needs, and other case information;
- A workload study and workload accounting system to improve workload management and resource allocation;
- Added management reporting capability to provide case assessment, case planning, case outcome, and workload data for program monitoring, planning, and evaluation during the project; and

- A process evaluation to assess the extent and quality of implementation of project components.

For assistance in creating and piloting the California SDM system, the State has contracted with the Children's Research Center (CRC), a division of the National Council on Crime and Delinquency (NCCD), headquartered in San Francisco, California. The NCCD and CRC have developed structured decision-making systems in the field of juvenile justice over the last several decades and in child welfare during the last 10 years. They are the only contracting organization in the country with extensive expertise and state-wide experience implementing structured decision-making systems with research-based risk assessment.

### ***Research-based Risk Assessment and Reassessment***

At the heart of the SDM project is research-based risk assessment/reassessment to assist workers in classifying CPS cases according to levels of risk of maltreatment recurrence. As part of the SDM project, staff from participating counties, working with the State SDM team and researchers from CRC have developed the California's Family Risk Assessment tool. This is a one-page assessment instrument developed by analyzing case characteristics known at case opening in relation to subsequent case outcomes during a two-year follow-up period using a 2500-case random sample from California project counties. Assessment results help decide whether cases are to be closed or opened to receive services. When a case is opened, the tool assists in determining how much case worker contact there will be with family members each month. Higher-risk cases get more intensive services.

### ***Other Tools for Structured Decision-making***

As noted above, SDM includes an assessment and decision-making system for deciding which reports to investigate and how quickly to investigate. It also includes tools for assessing child safety, assessing child and family strengths and needs, and assessing the appropriateness of returning children home from foster care. The tools for making the foregoing assessments and decisions have been designed to ensure that reasonable principles of good CPS case decision-making are always followed. All tools for making assessments and decisions have been founded on sound principles of social casework applied to child welfare case management. All tools have been field tested by participating counties.

### ***Discretionary and Policy Overrides in Structured Decision-making***

Good clinical judgement is an implicit requirement for the appropriate use of all the SDM instruments, definitions of terms, and procedures. The necessity of good clinical judgement is also *explicitly* recognized by the inclusion of "discretionary overrides" in some SDM tools. These allow a child welfare worker to override assessment findings in light of unusual case characteristics or circumstances that arguably should be considered in decision-making, but are not included in the instruments because they occur only rarely. Discretionary overrides require supervisory approval.

In a similar vein, policy makers have decided that prescribed actions, defined in advance, should be taken in cases with certain unusual circumstances regardless of the assessment

findings. To accommodate these judgements, the Response Priority tools and Family Risk Assessment include “policy overrides.” A policy override causes the assessment finding for a case to be changed to a prescribed finding or level if a particular circumstance or characteristic has been observed in the case.

### ***The Workload Analysis and Accounting System***

Under the SDM Project, very high, high, medium, and low-risk cases will receive different amounts of service, with higher-risk cases receiving the most service and lower-risk cases receiving less. Amounts of service to be provided to higher and lower-risk cases are described in a statement of prescribed service standards developed by pilot counties, the State, and CRC, working in consultation. Under the project, *more staff time* will be required to provide service to higher-risk than to lower-risk cases. As part of the project, the function of a workload analysis will be to find out how much time it takes to serve higher and lower-risk cases *at prescribed levels of service*. Information from this analysis can help ensure that case assignments are made in a way that takes into account the fact that higher risk cases need more service effort and will take more time. The workload analysis will provide the information necessary to ensure that individual child welfare workers are given the right amount of work to do--not too much and not too little—so that they can provide children and families with the services needed, given the amount of risk there is to the children. The function of the workload accounting system will be to provide workload and caseload reports to child welfare staff and managers for use in assigning cases and managing resources.

### ***Added Management Reporting Capability/Process Evaluation***

The SDM project has a number of components and principles that work in concert to produce desired results. These are such things as research-based risk assessment, service delivery in proportion to assessed risk, etc. We cannot reasonably expect the desired results (e.g., accurate assessments of risk, reduction in maltreatment recurrence, etc.) unless the project components actually have been implemented in a manner that is faithful to the principles of SDM. The extent of proper implementation of SDM will be evaluated with a process evaluation that will answer such questions as whether case assessment and decision tools were used and used properly in managing cases, whether higher risk cases actually received more services, etc. This evaluation will help to identify problems in implementation so they can be overcome and will ultimately help ensure that SDM is properly implemented. The primary vehicle for conducting this process evaluation will be an added management reporting capability that will be supplied by CRC during the project. Working with pilot counties and State staff, during the project CRC will set up and run a data collection and reporting system that will provide management reports, answering important questions about how the implementation of SDM is going. In addition to added management reporting, the process evaluation will also include the conduct of structured interviews with child welfare workers and supervisors and the collection of other concrete data on SDM implementation.

#### **IV. Project Organization**

To secure the benefits of SDM for California, a properly organized project that is responsive to the concerns of participating jurisdictions has been created. The organization of the project is as follows:

- Work groups of county line staff and first-line supervisors, State, and CRC staff were formed to develop the assessment tools and other project components described earlier.
- The products of the Work Groups are reviewed by a Core Team of county middle managers, State, and CRC staff.
- Pilot county agency directors serve as the project Executive Steering Committee. The role of this steering committee is to:
  - 1) establish general guidelines for system development and implementation;
  - 2) approve products of all Work Groups and the Core Team;
  - 3) establish guidelines for county policies and procedures;
  - 4) provide advice on project implementation; and
  - 5) establish project implementation schedules.

#### **V. Project Staffing**

As noted earlier, the vendor chosen to assist California with the project is the CRC, a division of NCCD, headquartered in San Francisco. Over the last 13 years, the CRC has developed risk assessment tools and other elements of SDM systems in the states of New York, Michigan, Indiana, Georgia, New Mexico, Oklahoma, Wisconsin, Rhode Island, and Alaska. CRC is currently working with the government of South Australia on development of an SDM system. The CRC has been a national leader in risk assessment and SDM in child welfare as well as juvenile justice, a field in which they have practiced for more than 20 years. The CRC group is led by Chris Baird, Senior Vice President of NCCD, and includes NCCD technical experts and project consultants with broad experience in child welfare casework and program management.

Oversight of the project is within the Children's Services Operations Bureau, Nancy Stone, Chief. Will Johnson, PhD is Director of Research for the project.

#### **VI. For More Information:**

- Counties interested in participating in the project may write to Marjorie Kelly, Director, Children and Family Services Division, California Department of Social Services, 744 P Street, M.S. 17-18, Sacramento, California 95814.
- If you have questions, would like a briefing or presentation on SDM, or would like to obtain copies of project materials or results, you may contact Will Johnson at (916) 445-2832.

**Request For Proposals (REP) 99-03**  
**Proposal Cover Letter and Statement of Intent to Meet RFP Requirements**

**TO:** Ken Williams, Contracts Officer California  
Department of Social Services  
Contracts Section  
744 P Street, M.S. 7-747, Room 700  
Sacramento, CA 95814

**SUBJECT: REQUEST FOR PROPOSALS (RFP) 99-03, CHILD WELFARE  
SERVICES WORKLOAD STUDY**

The subject proposal is submitted for consideration of award of contract for the anticipated term of June 1, 1999 through June 30, 2000.

NAME OF BIDDER (LEGAL ENTITY)	
NAME OF PARENT CORPORATION (IF APPLICABLE)	
ADDRESS OF BIDDER	
CITY, STATE, ZIP CODE	
CONTACT PERSON (TYPE OR PRINT)	(AREA CODE) TELEPHONE NUMBER

*The Bidder's signature affixed hereon shall constitute the Bidder's intent to comply with all requirements specified in the RFP.*

SIGNATURE OF PERSON AUTHORIZED TO SIGN BID	DATE SIGNED
NAME AND TITLE (PRINT OR TYPE)	

An original proposal, containing original signature, and ten (10) copies of the proposal are due in the Contracts Section of the California Department of Social Services by 4:00 p.m. on April 5, 1999. Proposals not received by the specified time, date and location shall be rejected. Postmarks or fax transmissions will not be accepted.

REQUEST FOR PROPOSALS (RFP) 99-03  
BID FORM

DATE ISSUED: March 5,1999

**BID NUMBER: FRP 99-03**  
**BID DUE: April 5,1999**  
**4:00 p.m.**

*Purpose:* In order to assure the State of California of a truly representative cost for services rendered, it is the intent of the California Department of Social Services (CDSS) to solicit formal competitive bids for the work described below.

*Description of Services:* To perform an evaluation of the current Child Welfare Services (CWS) workload and associated budgeting methodology in accordance with Section II, Scope of Work, of RFP 99-03.

**Nondiscrimination Compliance Statement:** *The prospective contractor's signature affixed heron and dated shall constitute a certification, under penalty of perjury under the laws of the State of California, that the bidder has, unless exempted, complied with the nondiscrimination program requirements of Government Code Section 12990 (a-f); and Title 2, CCR Section 8113.*

*The undersigned offers and agrees, if this bid is accepted within \_\_\_\_calendar days (60 calendar days unless different period is inserted by bidder) from the date of submittal, to furnish in accordance with the "Scope of Work " any and all of the services for the rate quoted.*

BIDDER'S BUSINESS NAME	
STREET ADDRESS	
CITY, STATE, ZIP CODE	
TELEPHONE NUMBER	FAX NUMBER
SIGNATURE OF PERSON AUTHORIZED TO SIGN BID	DATE SIGNED
NAME AND TITLE (PRINT OR TYPE)	
Are you claiming preference as a small business? (circle one) YES      NO If yes, submit a copy of your OSBCR certification approval letter with your bid.	

**AMOUNT OF BID:**

**TOTAL COST FOR SERVICES \$ \_\_\_\_\_**

BIDDERS NAME	CONTACT PERSON
ADDRESS	TELEPHONE NUMBER (     )
<b>BUDGET ITEM</b>	<b>AMOUNT BUDGET/REQUESTED</b>
PERSONNEL SERVICES	
Salary and Wages	
Benefits	
SUBTOTAL	
OPERATING/EQUIPMENT EXPENSES	
Consultant Services	
Travel	
Space	
Equipment Rental	
Furniture Rental	
Consumable Supplies	
Printing	
Telephone	
Utilities	
Indirect Cost	
Other (Explain in Budget Narrative)	
SUBTOTAL – Operating/Equipment Expenses	
<b>TOTAL EXPENDITURES</b>	

## PERSONNEL BUDGET

Bidder's Name	Contact Person
Address	Telephone Number ( ) _____ Area Code

[illegible]

TOTAL SALARIES

\* Enter the percent of time that budgeted staff will spend on this project.



**ATTACHMENT E**  
**Budget Narrative Format**

The following format may be used when completing the budget narrative. As an alternative, Bidders may submit narratives developed in-house. If the Bidder chooses to submit an in-house narrative, line items a through k must be costed where appropriate and must match totals quoted on the Budget Summary (Attachment C).

a.      **CONSULTANT SERVICES**

Explanation:

a. Total \$ \_\_\_\_\_

b.      **TRAVEL**

Local:

Out-of-Town:

b. Total \$ \_\_\_\_\_

c.      **SPACE COST**

Rent:

Utilities:

Maintenance:

c. Total \$ \_\_\_\_\_

d.      **EQUIPMENT RENTAL**

Use of office equipment for \_\_\_\_\_ staff at \$\_\_\_\_\_ per month.

d. Total \$ \_\_\_\_\_

e.      **FURNITURE RENTAL**

Use of rental furniture for \_\_\_\_\_ staff at \$\_\_\_\_\_ per month.

e. Total \$ \_\_\_\_\_

**ATTACHMENT E**  
**Budget Narrative Format (continued)**

f. CONSUMABLE SUPPLIES

Office Supplies:

Janitorial Supplies:

f. Total \$ \_\_\_\_\_

g. PRINTING

g. Total \$ \_\_\_\_\_

h. TELEPHONE

h. Total \$ \_\_\_\_\_

i. UTILITIES

Specify any utilities not covered under (c):

i. Total \$ \_\_\_\_\_

j. INDIRECT COSTS

j. Total \$ \_\_\_\_\_

k. OTHER

Specify items not included in any of the above:

k. Total \$ \_\_\_\_\_

## ATTACHMENT F TRAVEL RATES

### CALIFORNIA DEPARTMENT OF PERSONNEL ADMINISTRATION Non-Represented Employee Reimbursement Rates for Travel (Rates Effective July 1, 1997)

#### MEALS

Breakfast	Up to \$6.00	(Only if travel begins at or before 6:00 a.m. or if travel ends at or after 3:00 p.m.)
Lunch	Up to \$10.00	(Only if travel is more than 24 hours and begins at or before 11:00 a.m. or if travel ends at or after 2:00 p.m.)
Dinner	Up to \$18.00	(Only if travel begins at or before 5:00 a.m. or if travel ends at or after 7:00 p.m.)
Incidentals	Up to \$6.00	For each full 24 hour period.

#### LODGING

Statewide, without a lodging receipt	No lodging expenses can be claimed
Statewide, with a lodging receipt	Actual lodging cost up to \$79.00 per night plus taxes on entire cost of lodging rate. Lodging rates in excess of \$79.00 per night requires prior approval by the appointing powers in the CDSS.

#### MILEAGE

Use of private vehicles	\$ .31 cents per mile
-------------------------	-----------------------

#### AIRFARE

Actual cost of airline ticket (coach only)
--

**DISABLED VETERAN BUSINESS ENTERPRISE  
PARTICIPATION PROGRAM REQUIREMENTS**  
PLEASE READ THESE INSTRUCTIONS CAREFULLY

Public Contract Code Section 10115 et seq. establishes a contract participation goal of at least three percent (3%) for disabled veteran business enterprise (DVBE). This goal applies to a state agency's overall contracting program. State agencies have the discretion to apply the DVBE participation goal to individual contracts. DVBE participation requirements are included for this contract. This solicitation attachment provides program information and bidder responsibilities for the DVBE Participation Program. Bidders must meet DVBE Participation Program requirements to be viewed as a responsive bidder and considered for contract award. Failure to submit a complete response may result in a non-responsive determination, in which case the bid will be rejected. For bid response assistance, please contact the contracting official below:

*Ken Williams, Contracts Officer  
California Department of Social Services  
744 P Street, M.S. 7-74 7  
Sacramento, CA 95814  
(916) 657-1919  
(916) 657-2362  
ken.williams@dss.ca.gov*

The Office of Small Business Certification and Resources (OSBCR) offers program information and may be reached at:

*Department of General Services  
Office of Small Business Certification and Resources  
1531 I Street, Second Floor  
Sacramento, CA 95814-2016  
Homepage: <http://www.OSBCR.dgs.ca.gov>  
24 hour information and document request system: (916) 322-5060  
Receptionist: (916) 323-5478  
Fax: (916) 442-7855*

## **DVBE PARTICIPATION PROGRAM COMPLIANCE OPTIONS**

Before you begin to prepare your bid response, you will need to determine which option you will use and document to meet DVBE Participation Program requirements:

- A. **Commitment to Contract Participation** - Meet or exceed the goal of at least 3% DVBE participation for this solicitation and document that commitment. Should efforts result in partial or no participation, you must document your "good faith efforts" to attain DVBE participation for this solicitation to meet DVBE Participation Program requirements. Option A instructions are included below.
- B. **Business Utilization Plan** - Submit with your bid a copy of your firm's "Notice of Approved DVBE Business Utilization Plan". Additional Option B information is provided on page 4.

NOTE: Business Utilization Plans must address DVBE participation and apply only to procurements for materials, supplies and equipment, including electronic data processing and telecommunication goods and services.

### **OPTION A - Commitment to Contract Participation**

Meet or exceed DVBE participation goal of at least 3% for the proposed contract by one of the following two (2) ways:

- 1. **If you are a non-DVBE bidder:** Commit to use DVBE(S) for at least 3% of the contract bid amount.
- 2. **If you are a DVBE bidder:** Commit to perform at least 3% of the contract bid amount with your firm or in combination with other DVBE(s).

**To Document DVBE Participation:** Use the "Disabled Veteran Business Enterprise Participation Summary", form STD 840, proposed 03/98.

**DVBE Certification:** OSBCR-DVBE certification is the only acceptable certification. NOTE: Bidders must include certification verification for each participating DVBE bidder, subcontractor, and/or supplier.

Should full goal attainment not be achieved, your "good faith efforts" must be documented to meet DVBE Participation Program requirements prior to the solicitation due date, by completing Exhibit A in its entirety. **Bidders are encouraged to seek at least partial DVBE participation.**

### GOOD FAITH EFFORT

NOTE: All efforts intend to identify and attain DVBE participation.

**Step 1, Outreach, Awarding Department** - Contact the contracting official identified for this bid to identify potential DVBE subcontractors/suppliers. Document contact(s) and results on Exhibit A.

**Step 2, Outreach, Other State, Federal and Local Organizations** -

- **State** - Contact the OSBCR to identify certified DVBEs. An Internet Certified DVBE Query Report is available at <http://www.OSBCR.dgs.ca.gov> or a listing may be requested by calling (916) 322-5060. Document contact and results.
- **Federal** - No contact necessary as no viable federal contacts are currently known. NOTE: Awarding departments will require this contact should viable federal contacts become available.
- **Local** - The OSBCR publishes the "State Contracting Resource Packet to assist bidders in meeting this requirement. The "State Contracting Resource Packet is available on the Internet at <http://www.OSBCR.dgs.ca.gov> or may be requested by calling (916) 322-5060. Document request and results. Contact listed local organizations to identify potential DVBE subcontractors/suppliers. Document contact(s) and results on Exhibit A.

**Step 3, Advertisements** - Advertise in at least one trade and one focus publication (minimum two ads). List publication name(s) and advertisement dates on Exhibit A. Include copies of ads with bid.

NOTE:

- Advertising is mandatory unless the solicitation document specifically waives the requirement due to time constraints.
- Advertising must be published more than 14 days prior to the bid opening date.
- Sample ad content:

(YOUR COMPANY NAME)  
IS SEEKING QUALIFIED  
DISABLED VETERAN BUSINESS ENTERPRISE (DVBE)  
SUBCONTRACTORS &/OR SUPPLIERS  
TO PROVIDE (WHAT) FOR (PROJECT) (LOCATION)  
CONTACT: (NAME, ADDRESS, TELEPHONE, FAX, E-MAIL)  
BIDS DUE: (DATE/TIME)  
(SOLICITATION NUMBER)

- In accordance with PCC Section 10115.2(b)(3), bidders must advertise in one trade and one focus publication unless the DVBE goal is satisfied. The OSBCR publishes a list of trade and focus publications to assist bidders in meeting these contract requirements. To obtain a list, please contact the OSBCR and request the "State Contracting Resource Packet" at:

Department of General Services  
Office of Small Business Certification and Resources  
1531 I Street, Second Floor  
Sacramento, CA 95814-2016  
Homepage: <http://www.osbcr.dgs.ca.gov>  
24 hour information and document request system: (916) 322-5060  
Receptionist: (916) 323-5478  
Fax: (916) 442-7855

NOTE: DUE TO TIME CONSTRAINTS,  
ADVERTISING REQUIREMENT IS WAIVED

**Step 4, Invitations to Bid** - Invite identified DVBE subcontractors/suppliers to bid. Steps 1-3 should have produced a list of potential DVBEs.

- **Solicitation Sample** - Include a sample of the solicitation sent (letter, fax, e-mail) or discussed (by phone) with DVBE firms. If contact was by phone, document the conversation, date, time, contact person, and business opportunities discussed.
- **Bidders List** - Include the list of DVBEs invited to bid.

**Step 5, Consider responses** - Bidders must consider responding DVBEs for contract participation. Consideration should be based upon business reasons and the same criteria applies to all potential subcontractors/suppliers. List on Exhibit A those firms from your bidders list that responded to your, Step 4, Invitation to Bid. Indicate using the word "selected" if a firm was selected for participation or provide the business reason for nonselection. **NOTE: Firms shown as selected are to be listed on form STD 840, proposed 03/98.** If you have exhausted all avenues to attain DVBE bid-responses, and no responses were received, indicate "none" on form STD 840, proposed 03/98.

#### **OPTION B - Business Utilization Plan**

1. PCC Section 10115.15 permits bidders to submit DVBE Business Utilization Plans to satisfy DVBE Participation Program requirements. The Business Utilization Plans:
  - Are annually approved by the Department of General Services (DGS), Procurement Division (PD), Small Business Resource Unit and address DVBE participation. The annual approval process includes a prior year compliance evaluation.
  - Apply only to procurements for materials, supplies and equipment, including electronic data processing and telecommunications goods and services.
  - Address statutory information requirements.
  - Must be submitted prior to the bid due date and subsequently approved to satisfy DVBE Participation Program requirements.
2. DVBE Business Utilization Plans do not satisfy DVBE participation requirements for construction or non-EDP service contracts or contracts having DVBE goals which exceed those contained in the bidder's approved Business Utilization Plan.
3. Instructions for the preparation and submission of DVBE Business Utilization Plans may be obtained by contacting the DGS, PD, Small Business Resource Unit, 1823 14th Street, PO Box 942804, Sacramento CA 94204-0001 or by calling (916) 4455093.

#### **CONTRACT AUDITS**

Contractor agrees that the State or its delegate will have the right to review, obtain, and copy all records pertaining to performance of the contract, including but not limited to reports of payments made to subcontractors during the term of the contract. Contractor agrees to provide the State or its delegate access to its premise, upon reasonable notice, during normal business hours for the purpose of interviewing employees and inspecting and copying such books, records, accounts, and other material that may be relevant to a matter under investigation for the purpose of determining compliance with this requirement. Contractor further agrees to maintain such records for a period of three (3) years after final payment under the contract.

## ANSWERS TO FREQUENTLY ASKED QUESTIONS:

The following questions are among the most frequently asked regarding DVBE requirements:

**Q: *If I am awarded the contract, either with partial or full goal attainment documented, am I required to use the subcontractor/supplier proposed in my bid?***

**A:** Yes, unless you have requested and received substitution approval from the State.

Written requests should include:

- the person's or firm's name to be substituted, the substitution reason,
- the reason a non-DVBE subcontractor is proposed, if applicable, describe the business to be substituted including its business status as a sole proprietorship, partnership, corporation or other entity, and the certification status of the firm, if any.

See California Code of Regulations Section 1896.64 (c & (d) for substitution criteria. The request and the State's approval or disapproval is not construed as an excuse for noncompliance with any other provision of the law, including but not limited to the Subletting and Subcontracting Fair Practices Act or any other contract requirements relating to substitution of subcontractors. Failure to adhere to at least the DVBE participation proposed by the successful contractor may be cause for contract termination and recovery of damages under the rights and remedies due the State for default section of the contract(s) and any other penalties provided for by statute.

**Q: *Who notifies the subcontractor when an award is made?***

**A:** Upon award to a prime contractor, the awarding department notifies listed subcontractors of their contract participation. Primes are encouraged to notify their listed subcontractors immediately after an award is made to formalize their business agreements.

**Q: *What happens to bids considered non-responsive to the DVBE Participation Program requirements?***

**A:** Non-responsive bids are rejected. Many are rejected because of:

- incomplete documentation,
- documentation not received by bid due date,
- mathematical error related to the percentages,
- basing goal attainment on workforce composition.

**Q: *If I am a disabled veteran business enterprise, can I meet the 3% contract goal as a single company?***

**A:** Yes.

**Q: *If my submitted bid meets the contract goal and the State decides to make multiple awards to the bid/contract, could my bid be considered non-responsive?***

**A:** No. The State's decision to make multiple awards will not jeopardize bid compliance.



**GOOD FAITH EFFORT DOCUMENTATION – EXHIBIT A**

**SOLICITATION NO.**\_\_\_\_\_ **CONTRACTOR/BIDDER’S**

**NAME:** \_\_\_\_\_

This form is provided to document outreach, solicitations and considerations given to DVBEs.

**Step 1 – Contact awarding department to identify potential DVBE subcontractors/suppliers.**

**Step 2 – Contact other state, federal and local organizations to identify potential DVBE subcontractors/suppliers.**

INSTRUCTIONS ARE FOUND ON PAGE 3.

Date/Time Agency/Organization Name Contact Person/Method Telephone Number/Contact Results

Internet Address

_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
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_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

**GOOD FAITH EFFORT DOCUMENTATION – EXHIBIT A, Continued**

**SOLICITATION NO.** \_\_\_\_\_ **CONTRACTOR/BIDDER'S**

**NAME:** \_\_\_\_\_

**Step 3 – Advertisements** – List publications in which you advertised to identify potential DVBE subcontractors/suppliers (include a copy of each advertisement with bid). List publication dates for each advertisement.

Publication Name Publication Date(s)

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

**Step 4 – Invitations to Bid –**

- a. **Solicitation Copy:** Attach a solicitation copy sent to potential DVBE subcontractors/suppliers. If multiple solicitations methods were used attach a solicitation copy for each method. If phone contacts were made, document the conversations: date, time, contact person, and business opportunities discussed.
- b. **Solicitation List:** Attach a list of all DVBEs solicited. If multiple solicitation methods were used indicate method used for each.

**GOOD FAITH EFFORT DOCUMENTATION – EXHIBIT A, Continued**

**SOLICITATION NO. \_\_\_\_\_ CONTRACTOR/BIDDER'S \_\_\_\_\_**

NAME: \_\_\_\_\_

**Step 5 – Consider DVBE responses** – List below the DVBEs responding to your solicitation. If selected for participation, write in “selected” or the business reason for non-selection. Use additional pages as needed. If you have exhausted all resources and received no responses, please indicate “none”.

## DVBE Name Selected/Business Reason for Non-Selection

[illegible]

RFP 99-03

STATE OF CALIFORNIA  
DISABLED VETERAN BUSINESS  
ENTERPRISE PARTICIPATION SUMMARY  
STD. 840 REVISED 7/98

COMPANY NAME	NATURE OF WORK	CONTRACTING WITH	TIER	CLAIMED DVB VALUE	CERTIFICAT ION

RFP 99-03

STATE OF CALIFORNIA  
DISABLED VETERAN BUSINESS  
ENTERPRISE PARTICIPATION SUMMARY  
STD. 840 REVISED 7/98

### **COMPLETION INSTRUCTIONS**

THIS FORM **MUST** BE COMPLETED WHETHER THE CONTRACT GOALS ARE ACHIEVED OR A “GOOD FAITH EFFORT” IS MADE AND DOCUMENTED. IF NO PARTICIPATION IS OBTAINED, STATE “N/A” OR “NONE.” FULL AND PARTIAL GOAL ACHIEVEMENT SHOULD BE REPORTED.

**COMPANY NAME** – list the name of the company proposed for DVBE participation. If the prime contractor is a DVBE, the name **MUST** be listed for participation.

**NATURE OF WORK** – identify the proposed work to be performed by the prime contractor or subcontractors.

**CONTRACTING WITH** – list the name of the department or company with which the company listed is contracting.

**TIER** – the contracting tier should be indicated with the following level designations:

- 0=Prime or Joint Contractor
- 1=Primary Subcontractor/Supplier
- 2=Subcontractor/Supplier of Level 1 Subcontractor/Supplier
- 3=Subcontractor/Supplier of Level 2 Subcontractor/Supplier, etc.

**CLAIMED DVBE VALUE** – the total participation dollar amount claimed by a disabled veteran business enterprise (DVBE) for this bid.

**CERTIFICATION** - to obtain DVBE participation credit, the firm must be formally certified by the Office of Small Business Certification and Resources. Check “yes” if the certification verification has been included for each firm listed for participation.

### **REQUEST FOR PROPOSAL CHECKLIST**

The following list identifies all items that **MUST** be submitted in your proposal package. Space for checkmarks is provided in the left margin for your convenience.

- \_\_\_\_\_ Proposal Cover Letter and Statement of Intent to Meet RFP Requirements: A signed Proposal Cover and Statement of Intent to Meet RFP Requirements, Attachment A, **MUST** be submitted with the original and 10 copies of the proposal.
- \_\_\_\_\_ Bid Form: A signed and completed copy of the Bid Form (Attachment B) **MUST** be submitted.
- \_\_\_\_\_ Office of Small Business Certification and Resources Certification Approval Letter: A copy of the OSBCR certification letter **MUST** be submitted if Bidder is claiming small business preference.
- \_\_\_\_\_ Table of Contents: A table of contents **MUST** be submitted with corresponding page numbers for each section of the proposal, including identification of any exhibits, attachments or other materials.

#### **Body of Proposal**

- \_\_\_\_\_ Statement of Purpose: A Statement of Purpose **MUST** be submitted in accordance with Section V.D.1.
- \_\_\_\_\_ Study Design/Methodology: Explanation of the methods, tasks and time frames which will be used to perform the services required by this RFP in accordance with Section V.D.2.
- \_\_\_\_\_ Work Plan: A Work Plan **MUST** be submitted in accordance with Section V.D.3.
- \_\_\_\_\_ Bidder's Background/Experience/Qualifications: A description of the Bidder's qualifications **MUST** be completed in accordance with Section III and Section V.D.4.
- \_\_\_\_\_ Organizational Structure and Personnel Resources: Completed Bidders organizational structure and personnel resources **MUST** be submitted in accordance with Section V.D.5.
- \_\_\_\_\_ Budget Information: Proposal **MUST** include budget information for the entire

**Disabled Veteran Business Enterprise (DVBE) Participation and Documentation Requirements** (refer to Attachment G)

- \_\_\_\_\_ Disabled Veteran Business Enterprise Participation Summary (STD. 840 Revised 7/98): Completed form STD. 840 MUST be included.
- \_\_\_\_\_ Disabled Veteran Business Enterprise Certification: A copy of the Disabled Veteran Business Enterprise Certificate issued by the Office of Small Business Certification and Resources MUST be included for each DVBE identified by the bidder on the form STD. 840.
- \_\_\_\_\_ Documentation of Good Faith Efforts: Completed Exhibit A of attachment G MUST be included if DVBE goals have not been fully attained.